

Cabinet

Date: **Wednesday 11 January 2023**

Time: **10 am**

Venue: **Council Chamber, County Hall, Martineau Lane,
Norwich NR1 2DH**

Membership

Cabinet Member:

Cllr Andrew Proctor

Cllr Graham Plant

Cllr Bill Borrett

Cllr Margaret Dewsbury

Cllr Fabian Eagle

Cllr John Fisher

Cllr Tom FitzPatrick

Cllr Andrew Jamieson

Cllr Greg Peck

Cllr Eric Vardy

Responsibility:

Chair. Leader and Cabinet Member for Strategy & Governance.

Vice-Chair. Deputy Leader and Cabinet Member for Highways, Infrastructure & Transport

Cabinet Member for Adult Social Care, Public Health & Prevention

Cabinet Member for Communities & Partnerships

Cabinet Member for Growing the Economy

Cabinet Member for Children's Services

Cabinet Member for Innovation, Transformation & Performance

Cabinet Member for Finance

Cabinet Member for Commercial Services & Asset Management

Cabinet Member for Environment & Waste

Advice for members of the public:

This meeting will be held in public and in person.

It will be live streamed on YouTube and, members of the public may watch remotely by clicking on the following link: [Norfolk County Council YouTube](#)

However, if you wish to attend in person it would be helpful if, you could indicate in advance that it is your intention to do so as public seating will be limited. This can be done by emailing committees@norfolk.gov.uk.

The Government has removed all COVID 19 restrictions and moved towards living with COVID-19, just as we live with other respiratory infections. However, to ensure that the meeting is safe we are asking everyone attending to practice good public health and safety

behaviours (practising good hand and respiratory hygiene, including wearing face coverings in busy areas at times of high prevalence) and to stay at home when they need to (if they have tested positive for COVID 19; if they have symptoms of a respiratory infection; if they are a close contact of a positive COVID 19 case). This will help make the event safe for all those attending and limit the transmission of respiratory infections including COVID-19.

A g e n d a

1 To receive any apologies.

2 Minutes

Page 5

To confirm the minutes from the Cabinet Meeting held on Monday 5 December 2022

3 Members to Declare any Interests

If you have a **Disclosable Pecuniary Interest** in a matter to be considered at the meeting and that interest is on your Register of Interests you must not speak or vote on the matter.

If you have a **Disclosable Pecuniary Interest** in a matter to be considered at the meeting and that interest is not on your Register of Interests you must declare that interest at the meeting and not speak or vote on the matter

In either case you may remain in the room where the meeting is taking place. If you consider that it would be inappropriate in the circumstances to remain in the room, you may leave the room while the matter is dealt with.

If you do not have a Disclosable Pecuniary Interest you may nevertheless have an **Other Interest** in a matter to be discussed if it affects, to a greater extent than others in your division

- Your wellbeing or financial position, or
- that of your family or close friends
- Any body -
 - Exercising functions of a public nature.
 - Directed to charitable purposes; or
 - One of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union);

Of which you are in a position of general control or management.

If that is the case then you must declare such an interest but can speak and vote on the matter.

4 Matters referred to Cabinet by the Scrutiny Committee, Select Committees or by full Council.

5 Updates from the Chairman/Cabinet Members

6 Public Question Time

Fifteen minutes for questions from members of the public of which due notice has been given. Please note that all questions must be received by the Committee Team (committees@norfolk.gov.uk) by 5pm on Thursday 5 January 2023. For guidance on submitting a public question, please follow this link: [Ask a question to a committee - Norfolk County Council](#)

Any public questions received by the deadline and the responses will be published on the website from 9.30am on the day of the meeting and can be viewed by clicking this link once uploaded: [Click here to view public questions and responses](#)

7 Local Member Issues/Questions

Fifteen minutes for local member to raise issues of concern of which due notice has been given. Please note that all questions must be received by the Committee Team (committees@norfolk.gov.uk) by 5pm on Thursday 5 January 2023.

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| Report by the Executive Director of Children's Services | |
| 9 Schools' Local Growth and Investment Plan | <i>To Follow</i> |
| Report by the Executive Director of Children's Services | |
| 10 Homes for Ukraine Programme – update and next steps | Page 44 |
| Report by the Executive Director of Community and Environmental Services | |
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| Report by the Executive Director of Strategy and Transformation | |
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| 15 Reports of the Cabinet Member and Officer Delegated Decisions made since the last Cabinet meeting: | |
| To note the delegated decisions made since the last Cabinet meeting. | |

Decision by the Cabinet Member for Communities and Partnerships

- [Award of contract for the provision of electric hybrid emergency response cars for Norfolk Fire and Rescue Service](#)

Decision by the Executive Director of Community and Environmental Services

- [Residual Waste Treatment Contract - Variation](#)

Decision by the Cabinet Member for Highways, Infrastructure and Transport

- [ZEBRA - Application to increase electric bus fleet](#)
- [EV Charging Point Supplier – Norwich Charge Collective](#)

Decision by the Cabinet Member for Children's Services

- [Childcare Sufficiency Assessment 2022](#)

Decision by the Cabinet Member for Commercial Services and Asset Management

- [Disposal of Holt Hall, Kelling Road, Holt NR25 7DU \(1049/024\)](#)

Tom McCabe

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Date Agenda Published: 3 January 2023



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Cabinet

Minutes of the Meeting held on Monday 5 December 2022 in the Council Chamber, County Hall, at 10am

Present:

Cllr Andrew Proctor	Chairman. Leader & Cabinet Member for Strategy and Governance
Cllr Graham Plant	Vice-Chairman. Deputy Leader and Cabinet Member for Growing the Economy
Cllr Margaret Dewsbury	Cabinet Member for Communities and Partnerships
Cllr John Fisher	Cabinet Member for Children's Services
Cllr Tom FitzPatrick	Cabinet Member for Innovation, Transformation and Performance
Cllr Andrew Jamieson	Cabinet Member for Finance
Cllr Greg Peck	Cabinet Member for Commercial Services and Asset Management
Cllr Eric Vardy	Cabinet Member for Environment and Waste
Cllr Martin Wilby	Cabinet Member for Highways, Infrastructure and Transport

Executive Directors Present:

James Bullion	Executive Director of Adult Social Services
Paul Cracknell	Executive Director of Transformation and Strategy
Simon George	Executive Director of Finance & Commercial Services
Kat Hulatt	Assistant Director of Governance
Tom McCabe	Executive Director of Community and Environmental Services
Sara Tough	Executive Director of Children's Services

Cabinet Members and Executive Directors introduced themselves.

1 Apologies for Absence

- 1.1 Apologies were received from the Cabinet Member for Adult Social Care, Public Health and Prevention and the Deputy Cabinet Member for Adult Social Care, Public Health and Prevention.

2 Minutes from the meeting held on Monday 7 November 2022.

- 2.1 Cabinet agreed the minutes of the meeting held on 2022 as an accurate record.

3 Declaration of Interests

- 3.1 No interests were declared.

4 Matters referred to Cabinet by the Scrutiny Committee, Select Committees or by full Council.

- 4.1 None.

5 Update from the Chairman/Cabinet Members

- 5.1 No updates were given.

6 Public Question Time

- 6.1 The list of public questions and the responses is attached to these minutes at Appendix A.
- 6.2.1 Laura Godfrey asked a supplementary question:
- She stated that Aclé called on the Council to give families the security they deserve by extending the food voucher scheme to prevent families starving at this time of year and to make a commitment in writing to do so beyond April 2023.
- 6.2.2 The Chairman replied that the scheme in place by the council would help families until April 2023; Government had put in further money for authorities for the household support fund which would be dealt with when it came through in April 2023.

7 Local Member Questions/Issues

- 7.1 The list of Local Member questions and the responses is attached to these minutes at Appendix B.
- 7.2.1 Cllr Paul Neale asked a supplementary question:
- Cllr Neale asked, in the response to his supplementary question when it stated that Norfolk County Council commissioners were exploring all options for care services whether the administration had an ambition to bring more services in-house or through an arms length company, with possibly more powers being available through devolutionary plans.
- 6.2.2 The Chairman replied that this was something being looked at on a constant basis regarding all services when reviewing how services were provided by the Council.
- 6.3.1 Cllr Brenda Jones asked a supplementary question:
- Cllr Jones asked if the Cabinet Member could guarantee that additional funding for announced by Government for adult social services in Norfolk would be allocated to Adult Social Care and not used for other purposes or to meet savings targets,
- 6.3.2 The Cabinet Member for Finance replied that he could confirm that the Adult Social Care precept, if it was required to be put in place, would be used for social care services.

8. CES Compliance and Enforcement Policy – Annual Review

- 8.1.1 Cabinet received the report setting out the Community and Environmental Services Compliance and Enforcement Policy which had been reviewed and updated to reflect recent changes to legislation and guidance.
- 8.1.2 The Cabinet Member for Communities and Partnerships introduced the report to

Cabinet:

- Community and Environmental Services Compliance and Enforcement Policy provided a framework for services within the department to ensure they worked in a practical and consistent manner.
- Regulatory services were committed to protecting and supporting residents, visitors and businesses in the County and its environment.
- The policy had been updated to meet changes to legislation and guidance and these changes were highlighted in the attached appendix.
- This policy ensured that the responses were proportionate to the offence in question and that there was a consistent and transparent approach.
- The Cabinet Member for Communities and Partnerships moved the recommendations as set out in the report.

8.1.3 The Cabinet Member for Environment and Waste introduced the report to Cabinet:

- The Development Plan for the County comprises the Norfolk Core Strategy, Minerals and Waste Development Management Policies and Development Plan Document. There were two elements to the plan which were periodic inspections and investigation and enforcement of planning breaches.
- The council carried out proactive monitoring of mineral extraction sites including in restoration and extraction. Once sites had been restored, inspections would be annual until restoration was fully established, after which time reactive inspections would be carried out in cases of non-compliance
- Supplemental guidelines were given to Community and Environmental Services regulatory services relating to water courses, with Norfolk County Council being the lead local flood authority. The Council could take action to remedy contraventions in this area.

8.1.4 The Cabinet Member for Highways, Infrastructure and Transport introduced the report to Cabinet:

- This report set out the annual review of the Community and Environmental Services Compliance and Enforcement Policy which was the compliance policy reviewed by Community and Environmental Services and updated to reflect changes to legislation and guidance.
- The changes made were mostly for clarification and were highlighted in the explanatory notes.

8.2 The Chairman commended the work done by the regulatory services especially Trading Standards

8.3 Cabinet **RESOLVED** to approve the revised CES Compliance and Enforcement Policy at Appendix A of the report, including its annex documents.

8.4 **Evidence and Reasons for Decision**

The Policy provides a framework to ensure that we work in an equitable, practical, and consistent manner in the way we deliver regulatory activities and law enforcement. Norfolk County Council is committed to the principles of better regulation, reducing burdens on business with proportionate responses and ensuring we act to protect and support residents, visitors, businesses, and the environment. A range of enforcement approaches is available to the Council

but there is a need to discharge these in a consistent, fair, and transparent way, as well as ensuring that the public or environment is adequately protected.

Appendix B of the report provides enforcement performance information in relation to those regulatory functions covered by the Policy.

8.5 **Alternative Options**

A CES wide Compliance and Enforcement Policy is considered to be the most effective way to demonstrate how CES intends to fulfil its regulatory/legal responsibilities. An alternative option would be for each service area within CES to produce its own policy. However as described in section 4.1 of the report there is need for consistency in overall approach. The format of the draft Policy provides for additional (detailed) protocols where necessary or appropriate.

9. **Better Care Fund 2022/23**

- 9.1.1 Cabinet received the report proposing that Cabinet delegate the completion and execution of the Better Care Fund section 75 agreement to the Executive Director of Adult Social Services. This would allow the agreement to be finalise within timelines as required by the Better Care Fund Planning Requirements.
- 9.1.2 The Executive Director for Adult Social Services introduced the report to Cabinet:
- This report sought delegation to The Executive Director for Adult Social Services for completion and execution of the Better Care Fund section 75 agreement.
 - Agreement was gained from the Health and Wellbeing Board and Cabinet for implementation of the funding and included funding for winter plans as set out in the report at item 10, "Winter Capacity Planning".
- 9.1.3 The Chairman introduced the report to Cabinet:
- The Better Care Fund was placed into a pool fund, governed under an agreement under Section 75 of the NHS Act 2006 under the agreement of the Health and Wellbeing Board, and jointly agreed by the County Council and NHS.
 - It was required to be agreed by the Health and Wellbeing Board as part of the national conditions; as such it was agreed at the meeting of the Health and Wellbeing Board on the 9 November 2022.
- 9.2 The Cabinet Member for Communities and Partnerships stated that given the tight timescales involved she endorsed the delegation.
- 9.3 The Cabinet Member for Innovation, Transformation and Performance noted that the use of funding would encourage people to manage their own health and live independently, which he supported.
- 9.4 The Cabinet Member for Finance pointed out that while this funding consisted of over £21m, there was no financial implication to the council; the report ensured good governance of the funding.
- 9.5 Cabinet **RESOLVED** to delegate the authority to complete and execute the Better Care Fund (BCF) section 75 (s75) agreement to James The Executive Director for Adult Social Services, Executive Director Adult Social Services.

9.6 Evidence and Reasons for Decision

Given the tight timelines that exist to seal the Better Care Fund Section 75, it is difficult to do this by coming to Cabinet for final approval. By delegating this task to the Executive Director of Adult Social Services this means the Better Care Fund Section 75 can be finalised within these timelines. We have been advised that Executive Director is an appropriate level for this decision to be delegated to.

9.7 Alternative Options

An alternative option would be to bring the draft Better Care Fund Section 75 to Cabinet to be agreed. For 2022/23 this would mean sealing and finalising the Better Care Fund Section 75 after the required date. For future years we would be able to bring a draft of the Better Care Fund Section 75 to be agreed by Cabinet, and then sealed once assurance by NHS England has been completed.

10. Winter Capacity Planning

- 10.1.1 Cabinet received the report setting out a Winter Framework of key activity planned across Adult Social Care and linking with other partners in our Integrated Care System, to support system resilience over the coming months to meet the needs of support our population live as healthy life as possible during winter through working.
- 10.1.2 The Executive Director for Adult Social Services noted the pressure in the health service at that time, as seen in recent news reports. This report set out the importance of working together with the NHS and colleagues in housing to protect people in the community from the cold, pressures of recovering from Covid-19 and the increase in cost-of-living. The Council paid an important role in meeting peoples needs and protecting people.
- 10.1.3 The Chairman introduced the report to Cabinet:
 - The report outlined pressures on the care market and system and known national issues such as workforce shortages, rising demand in referrals and pressures on community healthcare from the Covid-19 pandemic.
 - The report followed on from the integrated winter plan presented to the Integrated Care Partnership focussing on Adult Social Care to respond to demand with actions to meet need, develop resilient communities and care systems and support the wider care market.
 - The pressures on the health and care system had been in place through the summer and in the upcoming winter there was uncertainty around flu, respiratory illness and covid-19 outbreaks and new Covid-19 variants, as well as the impact of the cost-of-living.
 - Modelling by Royal College London suggested similar levels of hospital admissions as last year, 2021, however it was possible that an acute resurgence may be seen if Covid-19 and flu peaked at the same time.
 - The winter plan provided focus on proactive steps being taken to respond to demand on services over the coming months, building on collaborative working developed during the Covid-19 pandemic. The impact of the proposals supported the organisation at system and place level to maintain safe levels of service to prepare to face the strain of the winter.
 - The winter plan was a dynamic plan where activity could be adapted to

meet needs. Activity would be monitored regularly at internal capacity meetings.

- Planning began in September 2022 and was joint with the NHS. The Health and Wellbeing Board would receive regular updates on plans.
- This winter there were extra pressures from increased healthcare needs, post Covid needs, and shortages of healthcare workers and services. The pressures had been evidenced in the recent news of high ambulance wait times.
- Norfolk County Council and the NHS would dedicate spending from grants to winter pressures, with £7m going to social care and £14m to the NHS including £5m national allocation. The Council and NHS were using shared resources as shown by the use of beds in the Norse extra housing scheme.
- The Chairman thanked carers for the work they did supporting family and friends. The council planned to provide care support and financial support for food and heating. There were also plans to make better use of the voluntary sector and the Chairman commended the work they did.
- It was important for families and communities to do their part looking out for neighbours and family members.
- The Executive Director for Adult Social Services was the lead on the National Discharge Task Force and would help the council to stay up to date on best practice. The winter plan had been developed with evidence of best practice from previous years and during the Covid-19 pandemic.
- The Chairman moved the recommendations as set out in the report.

10.2 The Cabinet Member for Environment and Waste welcomed the plan which showed that the council was proactive in dealing with potential issues.

10.3 The Vice-Chairman noted that there were core objectives to increase. It was important for all people to play their part in looking after people in their communities and contacting services to provide support for them when appropriate.

10.4 The Cabinet Member for Innovation, Transformation and Performance noted that working together was important and that managing risk to support people to stay at home was key, including the use of assistive technology.

10.5 The Cabinet Member for Finance was encouraged that the report showed there was provision to scale up activity if required.

10.6 Cabinet **RESOLVED** to approve the Winter Capacity Plan and work being carried out with our partners across the social care and health system to support our residents during the coming months.

10.7 **Evidence and Reasons for Decision**

The winter plan has been developed based on the evidence of effective working during previous winters and the covid pandemic. It offers a responsive way forward based on the available evidence of how demand may rise over the winter period. Cabinet are asked to endorse the activity taking place across adult social care in response to the demand being placed on social care.

10.8 **Alternative Options**

The proposals presented have been developed over time and are seen as the most appropriate solution to respond to the pressures within the social care and health system, within the current financial envelope.

11. Terms of Reference for Transport for Norwich Advisory Committee

11.1.1 Cabinet received the report setting out the updated terms of reference of the Transport for Norwich Advisory Committee, agreed at their meeting of the 29 September 2022.

11.1.2 The Cabinet Member for Highways, Infrastructure and Transport introduced the report to Cabinet

- At the Norwich Advisory Committee's meeting of 29 September 2022 it was agreed that the updated terms of reference should be recommended to Cabinet for agreement
- The Cabinet Member for Highways, Infrastructure and Transport moved the recommendations as set out in the report.

11.2 Cabinet **RESOLVED** that the Terms of Reference agreed by the Transport for Norwich Advisory Committee should be endorsed by the Cabinet.

11.3 Evidence and Reasons for Decision

Comments relating to the legal status of this Committee has led to governance issues previously, therefore it has been necessary to update the Terms of Reference and ensure that they are understood by all Members.

11.4 Alternative Options

Continuing with the existing terms of reference will result in confusion and future potential governance issues.

12. Mid-Year Treasury Management Monitoring Report 2022-23

12.1.1 Cabinet received the report providing details of the 2022-23 treasury activities and highlighting compliance with policy and strategy previously approved in relation to treasury management.

12.1.2 The Cabinet Member for Finance introduced the report to Cabinet:

- The Report set out how council had performed up to 30 September 2022 against treasury management borrowing strategies 2022-23.
- The treasury management panel reviewed and accepted the mid-year review which had been brought for ratification and would ensure the council was on track to deliver what had been presented to Full Council.
- It was important to maintain cash borrowing and investment levels within the levels set out within the investment paper 2022-23.
- Of £80m new borrowing budgeted for in 2022-23, by mid-year the amount borrowed was £0.
- It was not possible to borrow now at the rates available last year, at less than 2%, however the public works loan board rates had fallen since

September 2022. The period of coherent fiscal policy would allow the council to borrow at 3.6% when required.

- The forecast £895m level of total borrowing was less at mid-year than forecast in April 2022, and £7.45m had been repaid.
- The council was well under the various prudential borrowing limits required to operate within and it was forecast this would still be the case by the end of the financial year.
- Cash levels were £275m at the end of September 2022 and if the forecast £80m was borrowed, this would be £340m by year end.

12.2 The Chairman noted the amount of borrowing set out in the report however was assured that there were means to repay the borrowing, and that the programme would benefit the residents of Norfolk. The Cabinet Member for Finance replied that the rates that the Council had been able to borrow at over the last years had allowed programmes to be put in place which would benefit people and the economy of Norfolk for years to come.

12.3 Cabinet **RESOLVED** to endorse and recommend to County Council the Mid-Year Treasury Management Monitoring Report 2022-23

12.4 **Evidence and Reasons for Decision**

One annex is attached to the report, giving details of treasury management activities and outcomes, including:

1. Investment activities
2. Borrowing strategy and outcomes
3. Capital Plan and non-treasury investments
4. Prudential indicators

12.5 **Alternative Options**

In order to achieve treasury management in accordance with the Council's treasury management strategy, no viable alternative options have been identified to the recommendation in the report.

13. **Finance Monitoring Report 2022-23 P7: October 2022**

13.1.1 Cabinet received the report providing a summary of the forecast financial position for the 2022-23 Revenue and Capital Budgets, General Balances, and the Council's Reserves at 31 March 2023, together with related financial information.

13.1.2 The Executive Director of Finance and Commercial Services noted that the report exemplified the inflationary pressures Norfolk County Council would have to face in-year which would need to be considered when setting the budget.

13.1.2 The Cabinet Member for Finance introduced the report to Cabinet:

- For some months there had been high concerns in demand led spending departments from a range of pressures leading to higher costs putting pressure on budgets.
- The forecast revenue outturn for period 7 saw an increased overspend in Children's Services where a £20m cost over-run had built up. This was

mitigated by use of departmental reserves to deliver a net departmental overspend of £14.479m

- Adult Social Services were seeing increased pressures leading to an overspend while savings in the finance department mitigated the overall overspend to £3m
- Since the start of the year Children's Services had highlighted rising costs in social care placements however new models to keep children out of care and reduce young people and children who were looked after had not been as successful as forecast mainly because the number of children requiring the most complex care had increased leading to an increased cost of care and fewer foster carers coming forward was increasing strain on the department.
- In addition to this, inflation and staff retention by external providers increased the overspend in home to school transport at £6m over budget. This was a huge month-on-month increase reflecting the new scheme put in place at the start of the academic year and dwarfing savings made in this area. As the financial year progressed, the council would look to departmental reserves to mitigate overspends and support the service in their transformation programme.
- Section 2.18 and 2.19 of the report showed that Adult Social Services anticipated higher demand lead pressures than forecast. Despite an investment of £18m in the care market, many care providers had closed, leading to higher placement costs as new homes were found for residents.
- The overspend in finance general was due to property costs such as utility and energy costs.
- Departments were expected to absorb the £6m current year pay inflation of 7%. This would be achieved via savings or use of departmental reserves.
- Finance general forecast an underspend of £13.737m. Apart from a one-off saving due to a change in minimum revenue contribution together with higher revenue on cash balances a £6m saving had been made from use of business rates reserve and flexible use of capital receipts.
- The use of reserves now would mean they were not available to use in next year's budget setting.
- Key passages from the autumn statement were set out in the report.
- Significant cost pressures were emerging across all departments driven by demand, inflation, the local government pay award and national living wage.
- The capital programme had increased by £40.826m in October 2022 due to a revised funding because of an increased budget associated with the Norwich Western Link, announced and agreed by Cabinet and Council in July 2022. If this was not needed it would not be drawn down and so had not been added to liabilities. The overall increase included an anticipated grant of £4.118m to fund the West Winch Bypass. Financing of the capital programme was shown in table 4 of the report.
- Of the total capital budgeted to be spend in 2022-23, £192m would come from grant funding and external contributions
- Item 3 of appendix 3 showed over £50m capital receipts for this financial year. Some of this had been used to support transformation costs. The remaining £30m could be used to support capital spending if needed.

- 13.2 The Cabinet Member for Children's Services noted that there had been a tightening of the market, and increased inflation and increased staffing costs impacting on the costs levied to the council for home to school transport. The increase in number of schools for children with Special Educational Needs and Disabilities (SEND) and special resource bases would hopefully reduce these costs over time. Children's Services were looking to recruit foster carers; an advertising stand was in John Lewis in Norwich which had received positive feedback. The number of children in care showed that the transformation programme was having an impact as the figure was against the national trend where numbers were increasing. Costs in Norfolk were increasing as they were nationally and was due to the increase seen in support needs of young people in care. The Safety Valve work being carried out with the Department for Education would hopefully impact on the Children's Services budget.
- 13.3 The Chairman noted the cost on the council for looking after children in care. He pointed out that page 262 of the report highlighted the use for reserves.
- 13.4 Cabinet **RESOLVED**
1. To recommend to full Council the addition of **£40.921m** to the capital programme to address capital funding requirements funded mostly from various external sources as set out in detail in capital Appendix 3 of the report, paragraph 4.1 and 4.2 as follows:
 - £38.826m grant funding updates from the Department of Transport for various capital projects, including the West Winch Bypass £3.188m and the NWL £35.596m
 - £2m uplift to the Schools ICT Refresh budget for the rolling programme
 - £0.095m uplift to the Norwich Castle: Royal Palace Reborn project to fund monitoring and quality assurance measures (see Appendix 3 of the report: Note 4.2)
 2. Subject to full Council approval of recommendation 1 to delegate:
 - 2.1) To the Director of Procurement authority to undertake the necessary procurement processes including the determination of the minimum standards and selection criteria (if any) and the award criteria; to shortlist bidders; to make provisional award decisions (in consultation with the Chief Officer responsible for each scheme); to award contracts; to negotiate where the procurement procedure so permits; and to terminate award procedures if necessary.
 - 2.2) To the Director of Property authority (notwithstanding the limits set out at 5.13.6 and 5.13.7 of Financial Regulations) to negotiate or tender for or otherwise acquire the required land to deliver the schemes (including temporary land required for delivery of the works) and to dispose of land so acquired that is no longer required upon completion of the scheme;
 - 2.3) To each responsible chief officer authority to:
 - (in the case of two-stage design and build contracts) agree the price for the works upon completion of the design stage and direct that the works proceed; or alternatively direct that the works be recompleted
 - approve purchase orders, employer's instructions, compensation events or other contractual instructions necessary to effect changes in contracts that are necessitated by discoveries, unexpected ground conditions, planning conditions, requirements arising from detailed design or minor changes in scope

- subject always to the forecast cost including works, land, fees and disbursements remaining within the agreed scheme or programme budget.
 - That the officers exercising the delegated authorities set out above shall do so in accordance with the council's Policy Framework, with the approach to Social Value in Procurement endorsed by Cabinet at its meeting of 6 July 2020, and with the approach set out in the paper entitled "Sourcing strategy for council services" approved by Policy & Resources Committee at its meeting of 16 July 2018.
3. To recognise the period 7 general fund revenue forecast of a £3.011m overspend (0.65% of net budget), noting also that Executive Directors will take measures to reduce or eliminate potential over-spends where these occur within services;
 4. To recognise the period 7 forecast of 92% savings delivery in 2022-23, noting also that Executive Directors will continue to take measures to mitigate potential savings shortfalls through alternative savings or underspends;
 5. To note the forecast General Balances at 31 March 2023 of **£23.840m**, assuming the Council will mitigate the overspends reported in P7.
 6. To note the expenditure and funding of the revised current and future 2021-26 capital programmes.
 7. To note the update on the Autumn Statement and that implications of Government announcements will be reflected in the Council's 2023-24 budget planning and further informed by the Provisional Local Government Finance Settlement expected later in December.

13.5 **Evidence and Reasons for Decision**

Three appendices are attached to the report giving details of the forecast revenue and capital financial outturn positions:

Appendix 1 of the report summarises the revenue outturn position, including:

- Forecast over and under spends
- Changes to the approved budget
- Reserves
- Savings

Appendix 2 of the report summarises the key working capital position, including:

- Treasury management
- Payment performance and debt recovery.

Appendix 3 of the report summarises the capital outturn position, and includes:

- Current and future capital programmes
- Capital programme funding
- Income from property sales and other capital receipts.

Additional capital funds will enable services to invest in assets and infrastructure as described in Appendix 3 of the report, section 4.

13.6 **Alternative Options**

To deliver a balanced budget, no viable alternative options have been identified to the recommendations in this report. In terms of financing the proposed capital expenditure, no further grant or revenue funding has been identified to fund the expenditure, apart from the funding noted in Appendix 3 of the report.

14 **Reports of the Cabinet Member and Officer Delegated Decisions made since the last Cabinet meeting**

- 14.1 Cabinet **RESOLVED** to **note** the Delegated Decisions made since the last Cabinet meeting

The meeting ended at 10:51

Chairman of Cabinet

Cabinet
5 December 2022
Public & Local Member Questions

	Public Question Time
6.1	<p>Question from John Killett</p> <p>As a business owner supplying goods to hospitality in Norwich and Norfolk the recent closing of Exchange street to all vehicles between 10pm to 4pm is causing myself and other companies a logistical nightmare. Many of my customers don't open until after 10am. Trying to access Norwich city centre with the constant traffic delays to deliver goods, now means my vehicles and staff are having to leave our Lenwade warehouse at 7am, to try to do our 20 plus Norwich deliveries a day. Couldn't there be a permit system introduced for delivery vehicles allowing them to access exchange street to deliver. This would prevent the current chaos being caused.</p> <p>Response from the Cabinet Member for Highways, Infrastructure and Transport</p> <p>Traffic restrictions on Exchange Street were first introduced in 2020 with the road being closed to general traffic at all times of the day, with the exception to this being that loading and unloading could take place between 5pm and 10am.</p> <p>Following feedback received during public consultations the permitted times for loading and unloading were changed to between 4pm and 10am. In addition, in response to feedback received, a 3.5t maximum weight loading loop was implemented close to Exchange Street which vehicles can use throughout the day to load and unload. This route is via Pottergate, Lobtser Lane, Bedford Street, Little London Street, London Street and exiting via Gaol Hill.</p> <p>The restrictions in Exchange Street are consistent with other areas of the city centre such as Gentlemans Walk, Castle Street and Haymarket.</p> <p>Exchange Street is an area dominated by people walking around the city, making it an unsuitable route for the levels of traffic that previously used the road. This restriction makes it safer and easier to get around on foot, supports outdoor hospitality and the local economy, and improves air quality. The feedback we have received has been broadly supportive and people are keen to see the pedestrian zone free of traffic.</p> <p>The Exchange Street restriction is covered by an Experimental Traffic Regulation Order and any objections and representations relating to this Order can be made in writing and sent to the office of nplaw, Norfolk County Council, County Hall, Martineau Lane, Norwich, NR1 2DH, marked for the attention of Ms A L Wilton by 17th May 2023. They may also be emailed to trafficorders@norfolk.gov.uk.</p>
6.2	<p>Question from Laura Godfrey</p> <p>The effects of food poverty, from low energy to serious malnutrition, fall hardest on the young. There is nothing children can do to feed themselves. Thousands of parents are facing the choice between starving themselves or avoiding bills and feeding their kids. With inflation soaring, more families are struggling than ever before. Norfolk County Council should stand with families on the brink of disaster by providing fair, consistent and accessible support. Will you, as the leaders of Norfolk County Council, extend the cost of living vouchers beyond April and make them permanent?</p>

Response from the Leader and Cabinet Member for Governance and Strategy

We recognise the challenges that Norfolk families are facing. Alongside a multi-million pound package of wider support for communities, we are already providing cost of living vouchers to around 30,000 children in the county who are eligible for free school meals. We recently committed a further £3.6m to enable this support to continue until the end of April 2023. This provides £15 per child per month with an additional £30 at Christmas for free school meals eligible children.

As part of the Autumn statement, the Government announced that the Household Support Fund will be extended over 2023/24. This decision is very much welcomed and we hope this will enable this support to continue, subject to the government rules on the use of the fund.

**Cabinet
5 December 2022
Local Member Questions**

	Local Member Issues/Questions
7.1	<p>Question from Cllr Alexandra Kemp Can Cabinet take collective responsibility and stop putting highways officers at risk of public complaints about the dangerous state of the cycle lanes along the A10? Insufficient resource and inadequate intervention criteria along the A10 Growth Corridor, make residents less confident to walk or cycle. Only 6-weekly inspections, mean weedy overgrowth leaves the Hardwick to Setchey path, insufficient width for pedestrian safety from oncoming cyclists, or for two wheelchairs to pass.</p> <p>A resident writes This path is no longer fit for purpose and dangerous particularly if you meet a cyclist. Covered in places by about three feet at least of undergrowth.</p> <p>Response from the Cabinet Member for Highways Infrastructure and Transport We have been notified of issues on this stretch of highway and our Highways Teams are currently arranging a meeting on site to walk the route to view what remedial action is required.</p>
7.2	<p>Question from Cllr Rhodri Oliver The cabinet member will agree with me on the need to protect Norfolk taxpayers at this difficult time. Can he confirm that despite the announced increase in the referendum limit, he will not be supporting a combined rise in council tax and ASC that is greater than 2.99% as stated in the MTFS in October's cabinet papers.</p> <p>Response from the Cabinet Member for Finance I am acutely aware of the pressures facing tax payers and the impact of the cost-of-living crisis on Norfolk residents. However, I do not believe it is appropriate to prejudge the level of council tax that will be required to set a balanced budget for 2023-24, particularly when we await detail of funding allocations in the provisional Local Government Finance Settlement later in December, and the feedback from the public consultation which is currently underway. The level of council tax for 2023-24 remains a matter for Full Council to decide on, taking into account all elements of the budget including pressures, proposed savings, and the Chief Finance Officer's advice about the robustness of the overall budget. At this point in the budget-setting process, there are significant cost pressures emerging across all services, driven by demand levels, inflation, the local government pay award, and the level of the national living wage to name but a few. It is therefore critical that we maintain maximum flexibility when considering council tax increases in the coming years, particularly when Government has set out a clear expectation for local authorities to address inflationary pressures via locally raised council tax. I would add that Council Tax funding on this basis is unsustainable over the long term.</p>

	<p>Second Question from Cllr Rhodri Oliver</p> <p>I commend Cllr Jamieson's ongoing efforts to keep members informed of important budget considerations. Section 9 of his MTFS report in the October Cabinet meeting referenced risks to the council's budget position which might increase the gap from the previous £60m total for 23-24. Please can he confirm the total savings that have now been identified to date for the 23-24 period and the concomitant size of any remaining gap including the quantification of those aforementioned risks?</p> <p>Response from the Cabinet Member for Finance</p> <p>Thank you for your question. I am very conscious of the need to keep Members informed of progress in the development of the Council's budget. However, as we speak, work is underway to continue to drive out robust and deliverable saving proposals across the organisation, with further internal sessions scheduled for the week commencing 12 December. The timetable was set out in the paper that you reference. In addition, as referenced in my previous response, there are further emerging pressures being quantified, and there is material uncertainty around funding levels which are due to be announced in the provisional Local Government Finance Settlement. In this context, I do not think it helpful to give a public running commentary on the overall quantum of proposals or the size of the budget gap. However, based on the information currently available, I am assured that it will be possible for a robust and balanced Budget to be proposed to Full Council by the Cabinet in January 2023.</p>
7.3	<p>Question from Cllr Rob Colwell</p> <p>What reassurances can be provided to the residents of Norfolk in relation to the refugee and asylum seekers being placed in Norfolk hotels? This follows criticism from the Head of Paid Service of a 'rush job' and the short lead-in time councils have had to ensure support services, together with reports of diphtheria from a centre in Kent from where the asylum seekers may have arrived.</p> <p>Response from the Leader and Cabinet Member for Governance and Strategy</p> <p>We have made our point to the Home office that any plans to locate further refugees in Hotels' in Norfolk must be in negotiation and agreement with Local Authorities so that local support services can be put in place. Any additional funding implications must be provided by the Home Office.</p>
7.4	<p>Question from Cllr Lucy Shires</p> <p>What is the current average waiting time for an initial adult social service assessment, and from that point what is the average waiting time for the financial assessment?</p> <p>Response from the Cabinet Member for Adult Social Care, Public Health and Prevention</p> <p>Thank you for your question.</p> <p>People on the Council's holding list are waiting for a range of different reasons only one of which is assessments. Given the way that the data is recorded it is not possible to give the average waiting time for an assessment. The list changes on a daily basis, as the front-line managers rigorously review and</p>

	<p>ensure that the most urgent cases are dealt with as soon as is possible. With regards to financial assessments, waiting time is not specifically recorded, however from the record it is possible to extrapolate that the Council makes contact with individuals on average 9 days after the initial request comes through. This is the beginning of the financial assessment process, albeit a number of the assessments are very straight forward and may well be resolved almost immediately at that point.</p>
7.5	<p>Question from Cllr Brian Watkins I have previously criticised this Conservative administration for ‘chugging along in the slow lane’ when it comes to setting up new electric charging points across the county. What do you think the Chancellor’s recent imposition of excise duty on electric vehicles from 2025 will have on the Council’s ability to achieve its carbon net zero targets by 2030?</p> <p>Response from the Cabinet Member for Highways, Infrastructure and Transport Insofar as the impact the Chancellor’s announcement has on the uptake on electric vehicles, the Society of Motor Manufacturers and Traders does not see it impacting in the long-run, given that the government has a 2030 target whereby internal combustion engine vehicles will no longer be on sale from that year.</p> <p>Electric charging points installations in the county continue to be installed with or without the County Council’s intervention, including a major EV charging hub installed on the outskirts of Norwich at Postwick via the company Gridserve, as an expansion of their UK network. As far as the County Council is concerned, we have installed a number of charging points at County Hall which will be greatly increased in the new year, as well as a plan to install points across our estate. These are anticipated to be installed early next year. In addition to this some Members have chosen to use their allowance to support charging points in their community. We are also working with UK Power Networks to facilitate on-street charging points in Norwich, through their ‘Charge Point Collective’ initiative. This project is currently out to tender after finalising our locations, and we hope that this will result in charge point installation in the spring/summer of next year. We are also seeking funding for a separate programme to rollout charging points in rural locations for 2023, and are continuing to explore funding opportunities and collaborations with third parties going forward.</p> <p>Second question from Cllr Brian Watkins Over the years the Norfolk and Norwich economy has been boosted by international students studying at the county’s universities and colleges. Would you agree with the Liberal Democrats that any Government moves to clamp down on the number of students entering the UK to study would be an act of economic self-harm?</p> <p>Response from the Cabinet Member for Growing the Economy The institutions that have the data on the number of international students studying at the county’s HEI’s or colleges and progression data for those students moving into employment would be better placed to answer that question.</p>

	We are unable to provide an evidence base for the statement so cannot answer the question.
7.6	<p>Question from Cllr Steffan Aquarone What do you think that the Chancellor's Autumn Statement means for the future of Norfolk's major capital infrastructure projects?</p> <p>Response from the Cabinet Member for Highways, Infrastructure and Transport We will continue to work with DfT to seek funding approvals for our projects. I was pleased to host the Roads Minister in the County last week and he is interested and impressed by the breadth of our roads, public transport and active travel programme.</p>
7.7	<p>Question from Cllr Sharon Blundell What message would you like to send out to the Norfolk public that they will receive better governance should the proposed County Deal come to fruition?</p> <p>Response from the Leader and Cabinet Member for Governance and Strategy The Governance change required to agree a level 3 Deal for Norfolk would see a Directly Elected Leader in place from May 2024. This will allow the residents of Norfolk to have a say on who will lead the Authority and provide a single point of contact for Government, allowing greater influence over national policy and a direct link to Westminster.</p>
7.8	<p>Question from Cllr Saul Penfold Disabled People against the Cuts (Norfolk) and UNISON has accused your administration of not doing enough to lobby government for more money to properly fund under pressure services such as adult social care. How do you answer this charge?</p> <p>Response from the Leader and Cabinet Member for Governance and Strategy Since the change in Government following the election of Rishi Sunak I have written to the Health Secretary and the Chancellor re-iterating the need for Fair Funding for local government and proper funding for Adult Social Care Reform. We have created joint lobbying documents with local Disability Groups and continue to engage with service users to represent their experiences to Government. We have scheduled meetings with Norfolk's MPs to emphasise to them the importance of this issue to us and our communities.</p>
7.9	<p>Question from Cllr Tim Adams It has been estimated that around 10,000 new homes have been delayed because of the adverse effects on wildlife habitat sites caused by phosphates and nitrates from wastewater generated by new developments. What role is Norfolk County Council playing in trying to unlock the standstill in the planning system resulting from the nutrient neutrality issue?</p> <p>Response from the Cabinet Member for Environment and Waste Cllr Adams is referring to Natural England's Nutrient Neutrality catchment areas incorporating the Wensum and Broads catchments which affects all Norfolk's Local Planning Authority (LPAs) areas to some extent. LPAs are unable to</p>

	<p>determine housing related planning applications in affected areas until developers have assessed and brought forward appropriate mitigation measures to deal with increased phosphates and nitrates arising from proposed development that involves 'additional overnight accommodation'.</p> <p>The County Council has embarked on a number of actions to help bring forward solutions to unlock housing development, working closely with Norfolk's district councils. Consultants have been commissioned to build on the initial work by Natural England. This ensures that nutrient assessments of new developments in Norfolk can be accurate and properly targeted only to those developments that have an actual impact in the protected catchments. As a landowner we are also playing a leading role nationally along with partners and we are pioneering new land management practices through our Gressenhall Environment Hub and the Wendling Beck project. This project will not only develop our own land management practices, but those across the county and nationally, which will help ensure that new development can come forward in a way that also addresses the pollution issues that affect our rivers.</p> <p>We continue to work closely with our district colleagues and the water industry to progress the introduction of a credit-based system to fund mitigation measures following on from the completion of the commissioned modelling and local calculator to inform a locally derived evidence base.</p>
7.10	<p>Question from Cllr Jamie Osborn</p> <p>In 2019 Norfolk County Council agreed an environmental policy that stated it would work towards making the entire county carbon neutral by 2030. Over three years later, and Norfolk is on track to still be overshooting that target in 2050, let alone 2030.</p> <p>Does the Cabinet Member agree that the council's current and projected policies are utterly insufficient to reach carbon neutrality, and if he does not agree, please can he provide detailed evidence of how the council's policies will deliver carbon neutrality by 2030.</p> <p>Response from the Cabinet Member for Environment and Waste</p> <p>We recognise that the targets in the Environmental Policy are a challenge, however as far as this affects meeting them on our own estate, we feel we are on track with building on reducing direct emissions by the target date of 2030.</p> <p>The County Council also remains focused on pursuing initiatives to support the transition to a carbon neutral economy across Norfolk working in partnership with others. We continue in supporting the 1 Million Trees for Norfolk target; the roll out of EV infrastructure, which will be instrumental in supporting the switch to zero carbon vehicles. In addition, supporting wider sustainable transportation initiatives, including low carbon public transport and many active travel initiatives to help increase opportunities for walking and cycling.</p> <p>The Council has also launched the Norfolk Infrastructure Framework (NIF) grant aided pilot programme this autumn. The NIF addresses four key challenges, one of which is climate change.</p>

	<p>The recent COP 27 has highlighted the need collectively to continue our efforts to reduce emissions, but equally the need to accept that our historic emissions legacy leaves us with the understanding that we must adapt to the inevitable changes that will happen.</p> <p>The Council remains committed to working collectively with others to proactively address these wider challenges facing Norfolk as a whole.</p> <p>Second question from Cllr Jamie Osborn Can the Cabinet Member for Highways guarantee that the project costs of the Norwich Western Link will not exceed £200 million? And if not, can he guarantee an upper limit for the NWL costs?</p> <p>Response from the Cabinet Member for Highways, Infrastructure and Transport The project costs for the NWL were set out in the report that was agreed by Cabinet in July this year. The report set out the overall budget and the allowances included for risk and inflation. Any changes to the agreed budget, if they occur, will be brought back to Cabinet for it to consider.</p>
7.11	<p>Question from Cllr Ben Price The Norfolk Strategic Flooding Alliance says that it needs £80m to complete its work keeping Norfolk residents and businesses safe. In the last decade, Anglian Water paid out £1.5bn in dividends to its shareholders. Does the Cabinet Member agree, as Cllr Greg Peck implied at Scrutiny on 23 November in response to a question from Cllr Osborn, that people's water bills should not be paying for private investors' profits while there is a need for investment to prevent leaks, sewage overflows and flooding in Norfolk?</p> <p>Response from the Cabinet Member for Environment and Waste The privatisation of water companies is a longstanding and national approach. Locally, here in Norfolk, I can see Anglian Water's commitment to the funding and delivery of projects identified by the Norfolk Strategic Flooding Alliance and I expect that commitment to continue with Anglian Water being a key partner in the delivery of the objectives of the Alliance. And in relation to combined sewer overflows, this matter was considered recently by the County Council's Scrutiny Committee which decided further consideration should be given to this topic at a future meeting and with the involvement of Anglian Water and the Environment Agency.</p> <p>Second question from Cllr Ben Price There is growing demand from staff who have local government pensions for climate-friendly pension options. The pensions committee has previously resisted calls to divest from fossil fuels and invest instead in climate-friendly options. Does the Cabinet Member not agree that staff should at least have the option to invest their pension in funds that will help not damage our future, and investigate options such as the Hymans-Robertson Climate Impact Initiative?</p> <p>Response from the Cabinet Member for Finance The Local Government Pension Scheme (LGPS) is a defined benefit (DB) pension scheme. This means that members of the scheme earn pension benefits set out in statutory regulation. Employee contributions are made at a</p>

	<p>fixed level and the underwriting risk of the pension promise is retained by the employer. The Hymans Robertson Climate Change Initiative is made in relation to defined contribution (DC) schemes. Under a DC arrangement the ultimate pension received is based on the performance of the underlying investments i.e. the investment risk is retained by the member not the employer. Fund choice is generally relevant to DC but not DB pension arrangements. Under a DC arrangement the member has an individual “pot” of assets but in a DB scheme there is a collective asset pool to back the pension promise. Where member choices are provided the individual member “eats their own cooking” in terms of the impact on their own ultimate pension outcome.</p> <p>The pension promise made to around 100,000 members of the Norfolk Pension Fund is backed by a diversified investment portfolio of just under £5 billion. Responsibility for setting investment strategy and monitoring these assets is delegated to the Pensions Committee.</p> <p>The Pensions Committee regularly reviews investment and funding strategy. This includes monitoring and publishing climate risk metrics in its public equity (shares) portfolio and incorporating climate risk analysis as part of its formal valuation process. It is also a substantial investor in renewables and the energy transition within its infrastructure portfolios. The investments assets of the Fund are held and managed is to ensure the long term payment of pensions to its members.</p> <p>The Fund has developed cleared Environmental, Social and Governance (ESG) policies in relation to its investment portfolio. These are published on its website www.norfolkpensionfund.org</p> <p>The Fund believes in responsible investment. Responsible investment is an approach to investing that aims to incorporate ESG factors into investment decisions, to better manage risk and generate the sustainable, long-term returns required to pay pensions. Responsible investment does not require ruling out investment in any sector or company but should frame the approach to making the decision to own and manage ownership of any specific assets.</p>
7.12	<p>Question from Cllr Paul Neale</p> <p>In 2020 the Jeasal Cawston Park residential care facility had 3 questionable deaths resulting in its closure. We now have a care facility for adults with severe autism in Bowthorpe facing imminent closure, resulting in some residents being placed with providers over 100 miles away. Surely we should look into bringing such vulnerable people into bespoke Council run facilities. Does the cabinet member agree that we should review creating such inhouse facilities and stop the current ambition of this administration to savagely cut next year's Adult Social Services budget by £25.1 million?</p> <p>Response from the Cabinet Member for Adult Social Care, Public Health and Prevention</p> <p>Thank you for your question.</p> <p>I am sure that you are already aware but Cawston Park Hospital provided a service directly to the NHS and was not commissioned by Norfolk County Council to provide any service nor was anyone in our care placed there.</p>

	<p>Lambert House is a residential home specialising in autism and Norfolk County Council funded 5 of its residents; of these, only 1 person has been placed out of county. This is due to a national shortage of specialist autism placements. The other NCC funded residents have been found alternative placements in Norfolk. NCC commissioners are exploring all options to encourage more provision in Norfolk.</p>
7.13	<p>Question from Cllr Matthew Reilly</p> <p>It is encouraging to see Swaffham trialling a 20mph speed limit across the town. Speeding is a significant issue in my area and a concern for residents across West Earlham. Will the Cabinet Member for Highways and Infrastructure and Transport agree to discussions with myself and community members on how we can move forward with a similar trial in my area?</p> <p>Response from the Cabinet Member for Highways, Infrastructure and Transport</p> <p>A review of the environment, nature of highway activity and quantity of vulnerable user in Swaffham has identified that a 20mph zone may be appropriate. As such the Town Council and Local Member have agreed to fund an Experimental Traffic Regulation Order (ETRO) which will establish the effectiveness of a reduced speed limit and whether a permanent Traffic Regulation Order (TRO) should be taken forward in the future.</p> <p>Similar schemes could be considered where they meet the requirements as defined in the Speed Management Strategy and officers would be pleased to discuss potential schemes with Members.</p>
7.14	<p>Question from Cllr Emma Corlett</p> <p>Lancashire County Council is the latest local authority to pause a significant infrastructure project, following the likes of Oxfordshire, Cumbria and Devon County Councils. The cost of the Norwich Western Link is spiralling out of control due to inflation even before it has obtained approval, with the project now likely to exceed £300 million.</p> <p>Will the Cabinet Member for Highways, Infrastructure and Transport finally do the right thing, press the red button and end this reckless project before it bankrupts the Council?</p> <p>Response from the Cabinet Member for Highways, Infrastructure and Transport</p> <p>It is not agreed that the project costs for the Norwich Western Link are spiralling out of control. An update for the project was provided in the report agreed by Cabinet in July this year, which included details about the allowances for risk and inflation. It also set out the reasons why the project is important for Norfolk and the residents in communities suffering from increasing traffic impacts. Any changes to the agreed project budget, if they occur, will be brought back to Cabinet for it to consider.</p>
7.15	<p>Question from Cllr Julie Brociek-Coulton</p> <p>Families in my Division, Sewell, are concerned that because early years providers are not receiving enough funding to keep up with rising costs at the</p>

	<p>moment that these will have to be met by providers putting up the cost of childcare, or they will go out of business entirely. Can the Cabinet Member for Childrens Services explain what actions the Council is taking to support providers and provide assurances to parents that their childcare costs won't be going up?</p> <p>Response from the Cabinet Member for Children's Services The Department for Education provides funding to Norfolk County Council which is distributed to providers by a locally agreed formula. Norfolk is one of 44 local authorities who receive the lowest rate of funding under the national funding formula. We are awaiting details of our allocation from DfE for 23/24 and the outcome of the national consultation that took place during the summer. This information should be shared with LAs this month.</p> <p>We agree that current rates of funding are insufficient, and have been for some time. The current rises in costs mean that we are working with a larger number of providers than usual who are facing financial issues.</p> <p>Our support includes advice on business planning, provision and analysis of information on local sufficiency of places, financial advice and signposting, and short term grants for provision that is in an area where places are needed.</p> <p>We would ask any provider that is facing difficulties to contact the Local Authority through the Early Years Advice Line (01603 222300, opt 3) at the earliest opportunity so support can be provided.</p>
7.16	<p>Question from Cllr Alison Birmingham With over 100 current social worker/assistant practioner vacancies, can the Cabinet Member for Adult Social Care, Public Health and Prevention confirm how soon he expects these vacancies to be filled and what new measures the Council is considering in order to increase the workforce and take pressure off our existing, hardworking social work staff?</p> <p>Response from the Cabinet Member for Adult Social Care, Public Health and Prevention Thank you for your question.</p> <p>As you will already be aware from previous Full Council Meetings, Adult Social Services recognises the challenges that staff vacancies place on front-line services. Nationally the recruitment position for social care remains extremely challenging and in response to these pressures the Council has transformed its approach to recruitment to enable a strong data-led improvement methodology.</p> <ul style="list-style-type: none"> • In August 2022 we introduced a Golden Hello of £2k for all social worker roles. • In September 2022 we launched a joint "We Care" multimedia marketing campaign with Childrens Services targeting 400 applications (40 roles.) This will run for 6 months. We also launched a County wide recruitment campaign for NFS vacancies targeting local residents. • In October 2022 we created a centralised recruitment admin function to minimise administrative burden on teams.

	<p>In November 2022 we launched our ASSD workforce strategy which sets out 7 key areas of focus to drive workforce improvement.</p> <p>The Council also introduced protected training time for Social Workers and OTs; centralised the tracking of vacancies and the performance of recruitment process; introduced a weekly DLT review of the recruitment position to drive targeted intervention and instigated weekly retention and recruitment workstream meetings to drive targeted improvements to the recruitment process.</p> <p>Further activities are also planned to include a new international recruitment approach and investing into our support offer for international staff; a focused resource to manage shortlisting and coordinate interviews for all social worker roles and from December 2022 it will be possible to offer advance payments on relocation expenses and mileage expenses to support the cost of living impact for new and existing staff.</p>
7.17	<p>Question from Cllr Brenda Jones</p> <p>Even with the additional capacity outlined in the Winter Capacity Plan report to Cabinet, it is still not enough to deal with existing need, let alone any surge in demand from Winter pressures on the health and social care system. Can the Cabinet Member for Adult Social Care, Public Health and Prevention confirm what more he plans to do to tackle the care emergency and who he is expecting to carry out the additional care hours outlined in the report?</p> <p>Response from the Cabinet Member for Adult Social Care, Public Health and Prevention</p> <p>Thank you for your question.</p> <p>Norfolk's Adult Social Care Winter Plan forms part of a wider Winter Framework of key activity planned across Adult Social Care, NHS Norfolk and Waveney and the wider Integrated Care System partners. The system is acting as one to ensure resilience over the coming months to meet the needs of our population, to maintain high quality and safe service provision as we continue to deal with the increased demand due to the COVID pandemic as well as the additional strain that winter and cold weather inevitably bring. The plan is fully supported by the Integrated Care Partnership and includes capacity to address increased demand over the winter period across health and social care. Specific additional capacity is being delivered by Norfolk County Council:</p> <ul style="list-style-type: none"> • Support to home care providers across the care market, including enhanced hourly rates, and increased block commissioned capacity, • Additional resources to support provision of reablement over the winter, • Housing with Care flats to be used as innovative community step down beds to provide short term 24/7 home care support, • NCC supporting deployment of NHS intermediate care beds for hospital discharge.
7.18	<p>Question from Cllr Maxine Webb</p> <p>With over 1700 people across Norfolk waiting for an assessment of their care needs at the moment, can the Cabinet Member for Adult Social Care, Public Health and Prevention confirm how long he expects it will take to deal with all</p>

current outstanding assessments and when he expects our hard-working staff will be able to clear this huge backlog?

Response from the Cabinet Member for Adult Social Care, Public Health and Prevention

Thank you for your question.

Staff are working extremely hard in a challenging environment as they work through the extra workload caused by the Covid pandemic. Each team is working to a plan and trajectory of reducing the numbers of people waiting for a complex assessment to 100 per locality by May 2023. This manageable level is regarded by senior operational managers as a base level for the intake and management of new referrals including prioritising those most in need. All holding lists have been stratified according to risk and those people most at risk of harm (safeguarding), carer breakdown or adverse impact on their health and wellbeing are being prioritised daily. The achievement of the holding list reduction is dependent on positively addressing staff vacancies, particularly in registered roles such as social worker and occupational therapists, where there is a national recruitment shortage. In addition, new ways of working are being introduced through the work in our Connecting Communities programme that will support the holding list reduction. The Director Leadership team oversee progress and address barriers to achievement through weekly governance meetings where the performance is reviewed, and further remedial actions taken.

Cabinet

Item No: 8

Report Title: Admission Arrangements for the School Year 2024/25

Date of Meeting: 11 January 2023

Responsible Cabinet Member: Cllr John Fisher (Cabinet Member for Children's Services)

Responsible Director: Sara Tough, Executive Director of Children's Service

Is this a Key Decision? No

If this is a Key Decision, date added to the Forward Plan of Key Decisions: N/A

Executive Summary / Introduction from Cabinet Member

Recommendations:

- 1. To determine the Admissions arrangements for the school year 2024/25**

1. Background and Purpose

- 1.1 Each year the County Council is required to determine the admissions co-ordination scheme for all schools and determine the admissions policy for all Community and Voluntary Controlled schools, for which the Council is the admissions authority
- 1.2 The co-ordination scheme has been developed following previous consultations over a number of years. The proposed scheme and timetable for the school year 2024/25 meet the requirements imposed by the School Admissions Code (2021) and associated legislation to ensure a fair and consistent process for parents.
- 1.3 The School Admissions code requires admission authorities to consult changes for six weeks between 1 October and 31 January where changes are proposed. For the second year, no consultation was carried out as

there are no changes to the Local Authority's admission arrangements or admission policy.

- 1.4 Admission Authorities must determine their admission arrangements every year, even if these have not changed from previous years and a consultation has not been required.

2. Proposal

- 2.1 To maintain the current co-ordinated admission arrangements for all Norfolk schools which agree to be part of the scheme and to maintain the existing admission policy for Community and Voluntary Controlled schools. For reference the admission arrangements, timetable and policies are attached.

3. Impact of the Proposal

- 3.1 To ensure a fair and equitable process for all families seeking a mainstream school place and complying with the statutory requirements set out in the School Admissions Code (2021)

4. Evidence and Reasons for Decision

- 4.1 The co-ordination scheme follows the model set out in the School Admissions Code and admission policies for Community and Voluntary Controlled schools have been developed to fully comply with requirements of the School Admissions Code
- 4.2 Norfolk County Council is under a statutory duty to determine admission arrangements by 28 February each year. If these cannot be determined, the Secretary of State has the power to impose arrangements
- 4.3 Parents refused admission to a preferred school are entitled to the Independent Admission Appeals Panel. Since 2010, the Panel is required to consider the legality of admission arrangements as part of this process and where these do not comply refer Office of the Schools Adjudicator (OSA). No such referrals have been made.
- 4.4 Parents can refer to the Office of the School Adjudicator any concerns on the determined admission arrangements. This has not happened since 2014, when it was confirmed that the Council's arrangements were compliant. Parents dissatisfied with the outcome of an appeal can refer their concerns to the Local Government Ombudsman but again, no concerns have been expressed regarding the co-ordination scheme or admission policies on such occasions.

- 4.5 The majority of parents gain a place at one of their preferred schools for their children

5. Alternative Options

- 5.1 None

6. Financial Implications

- 6.1 The admissions function is funded from the Dedicated Schools Grant and all associated costs are covered by the grant. The proposed admission arrangements do not add further to the current costs.

7. Resource Implications

- 7.1 **Staff:** No changes to the current staffing is required

- 7.2 **Property:** None

- 7.3 **IT:** None

8. Other Implications

- 8.1 **Legal Implications:** None

- 8.2 **Human Rights Implications:** None

- 8.3 **Equality Impact Assessment (EqIA) (this must be included):** Admission Authorities must ensure that their arrangements will not disadvantage unfairly, either directly or indirectly, a child from a particular social or racial group

- 8.4 **Data Protection Impact Assessments (DPIA):** None

- 8.5 **Health and Safety implications (where appropriate):** None

- 8.6 **Sustainability implications (where appropriate):** None

8.7 Any Other Implications: None

9. Risk Implications / Assessment

9.1 Not applicable

10. Select Committee Comments

10.1 Not applicable

11. Recommendations

1. **To agree to the continuation of the current Admission arrangements, timetable and over-subscription criterion**

12. Background Papers

12.1 Appendix A: Admission Round Co-ordination 2024/25

12.2 Appendix B: 2024/25 Admissions co-ordination timetable

12.3 Appendix C: 2024/25 Norfolk's In Year co-ordination scheme

12/4 Appendix D: Oversubscription rules for Community and Voluntary Controlled schools.

Officer Contact

If you have any questions about matters contained within this paper, please get in touch with:

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APPENDIX A 2024/25 Admission Round Co-ordination Scheme

Norfolk Admission Arrangement 2024/25

(First admission to Reception, Transfer to Junior School and Transfer to Secondary School)

1. Parents are offered the opportunity to express up to three preferences.
2. All Norfolk parents will complete a common application form either online or by a paper form which must be returned direct to us at Norfolk County Council.
3. Any parents seeking to apply direct to Foundation schools, Voluntary Aided schools and Academies must be provided with a common application form inviting three preferences which must be forwarded to the Local Authority.
4. For first admission to school, details of the application process will be sent to parents using data supplied by Norfolk health authorities and Early Year Providers in accordance with the published timetable. For transfers to Junior or Secondary school, application packs will be sent to parents of all Norfolk children attending Norfolk state funded schools and applications will be invited online. Application forms will also be available on the County Council's website.
5. Closing date for applications will be as per the published timetable.
6. The governing bodies for Foundation, Voluntary Aided schools, Free Schools and the Trust for Academies manage their own admissions. If an own admission authority school is oversubscribed, details of all preferences cast for the school will be forwarded to the governing body/trust so that their oversubscription rules can be applied. Parents will be advised to complete a supplementary application form or forward appropriate additional information as required by those own admission authority schools where this is required to apply their oversubscription rules.
7. The County Council applies the published admission rules in the event of oversubscription at Community and Voluntary Controlled schools to prioritise all applications.
8. Applications for school places in other Local Authorities will be forwarded to the relevant authority in accordance with our timetable. Other Local Authorities will forward their applications which will be considered by the relevant Norfolk admission authority.
9. Academies, Foundation schools, Voluntary Aided and Free Schools are required to return all applications sorted in rank order to the County Council as per the timetable.
10. Other Local Authorities notify Norfolk of potential offers for their schools and Norfolk notifies potential Norfolk offers for their applications.

11. Where more than one place could potentially be offered the single offer will be for the school that the parent has ranked the highest. Lower ranked preferences will be withdrawn. This process will be undertaken until all potential duplicate offers are resolved.
12. Where no preference can be met, the County Council will, whenever possible, allocate a place at the next nearest school with a space to ensure an offer is made to all parents living in Norfolk.
13. Norfolk County Council will post offers of school places for all Norfolk schools via our online system for applicants who applied online or by second class post for those who applied via a paper application as per the timetable.
14. Parents will be advised of their right of appeal against any refusal and to whom their appeal should be lodged for each preference that is refused.
15. Norfolk County Council will make the final allocation of school places to be notified on offer day on the date identified in the timetable. Any changes after this date will be considered in a “mini” admission round which will be undertaken after the initial offer of places, as per the timetable.
16. We will ensure all admission authorities maintain a waiting list until 31 December 2024 for all Norfolk schools and co-ordinate any changes which occur after the offer date. Waiting lists will be maintained in strict over-subscription criteria order for each individual school. No waiting lists will be maintained after this date.
17. Late applications are considered a lower priority than all on time applications when offers are made on the offer date and for the mini admission round. After these initial allocations, applications will then be prioritised solely on the basis of the oversubscription criteria.

APPENDIX B 2024/25 Admissions Co-ordination Timetable

Norfolk Admission Arrangements 2024/25

1. Admission to Reception classes

Round opens: 25 September 2023

Round closes: 15 January 2024

Applications forwarded to other admission authorities: 8 February 2024

Applications returned by other admission authorities: 15 March 2024

Data exchange with other local authorities 15 - 22 March 2024

Co-ordination scheme applied (no further changes until after offer day): 2 April 2024

National Offer day: 16 April 2024

Appeals closing date: 10 May 2024

Late application closing date: 10 May 2024

Mini admission round to consider changes: 20 May 2024

Late appeals closing date: 3 June 2024

Appeals hearings: June/July 2024

Waiting lists maintained until: 31 December 2024

2. Junior Schools

Round opens: 6 November 2023

Round closes: 15 January 2024

Applications forwarded to other admission authorities: 6 February 2024

Applications returned by other admission authorities: 15 March 2024

Data exchange with other local authorities 18 - 22 March 2024

Co-ordination scheme applied (no further changes until after offer day): 3 April 2024

National Offer day: 16 April 2024

Appeals closing date: 29 April 2024

Late application closing date: 3 May 2024

Mini admission round to consider changes: 16 May 2024

Late appeals closing date: 22 May 2024

Appeals hearings: June/July 2024

Waiting lists maintained to: 31 December 2024

3. Secondary Schools Timetable

Round opens: 11 September 2023

Round closes: 31 October 2023

Applications forwarded to other Local Authorities: 5 December 2023

Applications forwarded to other admission authorities: 5 December 2023

Applications returned by other admission authorities: 13 January 2024

Co-ordination scheme applied (no further changes until after offer day): 2 February 2024

Offer day: 1 March 2024

Appeals closing date: 22 March 2024

Late application closing date: 22 March 2024

Mini admission round to consider changes: 3 April 2024

Late appeals closing date: 19 April 2024

Appeals hearings: May/June 2024

Waiting lists maintained to: 31 December 2024

APPENDIX C 2024/25 Norfolk In-Year Co-ordination Scheme

Norfolk Admission Arrangement 2024/25

1. Parents seeking a Norfolk school place are offered the opportunity to express up to three preferences.
2. Parents will complete an in-year common application form that must be returned direct to the Admissions Team at Norfolk County Council.
3. Any parents seeking to apply direct to a school will be provided with an in-year common application form inviting up to three preferences which is then forwarded to the Admissions Team.
4. Closing date for applications will be as per the published timetable below.
5. Applications will be considered in advance of the published timetable where families can demonstrate that there are exceptional reasons why an earlier transfer is required. Where the Local Authority and the relevant admission authority accepts that there is sufficient evidence and all parties support an earlier transfer the application will be considered without delay.
6. Applications will be considered immediately when families have moved a distance which makes travel to the current school unreasonable (more than statutory walking distance from the current school and no existing home to school transport available to support continued attendance at the current school).
7. The Local Authority will contact preferred school(s) to check on availability of place(s). Where a Foundation school, Voluntary Aided school, Free School or Academy has more applications than places available details of the preferences will be forwarded to the school to prioritise the applications using their published over-subscription rules.
8. The published admission limit only applies to the intake year at a school. However, this number will be considered for in year admissions unless a school is significantly undersubscribed. In this situation schools will be considered full in a year group when they reach an appropriate operational limit within their existing class organisation.
9. Academies, Foundation, Voluntary Aided and Free Schools must return all applications sorted in rank order to the County Council within 10 school days of the request.
10. The County Council applies the published admission rules in the event of oversubscription at Community or Voluntary Controlled schools to prioritise all applications.
11. Where more than one place could potentially be offered the single offer will be for the school that the parent has ranked the highest. Lower ranked preferences will be withdrawn.
12. Where no preference can be met, and the child is not already attending a local school, a place will be allocated at a school in accordance with Norfolk's Fair Access Protocol.

13. Norfolk County Council will send out offers of school places for Norfolk schools by second class post as per the timetable.
14. Parents will be advised of their right of appeal against any refusal and to whom their appeal should be lodged for each preference that is refused.
15. One application will be considered each academic year unless there has been a material change in the pupil's or family's circumstances.
16. No waiting lists will be maintained by the Local Authority as part of the in-year co-ordination scheme.
17. Own admission authority schools are not required to take part in the in year co-ordinated admission scheme and parent/carers can apply direct to these schools. Those not taking part in the scheme are listed on the Council's website. These schools are required to confirm to the Local Authority applications received and the decision made.

Timetable for In-year Admissions:

We expect transfers to take place at the beginning of each school term and **will only consider applications which are received by the Admissions team on or before:**

- 31 October for a transfer at the beginning of the spring term (i.e., after Christmas)
- 28 (29) February for a transfer at the beginning of the summer term (i.e., after Easter)
- 31 May for a transfer at the beginning of the autumn term (i.e., after the summer holiday). Late applications will be accepted until 3 July for a transfer at the beginning of the autumn term (i.e., after the summer holiday)

Applications received after the specified dates will not be considered until the next closing data for admission.

APPENDIX D 2024/25 - Admission arrangements for Community and Voluntary Controlled schools

Norfolk Admission Arrangement 2024/25

Oversubscription rules for Community and Voluntary Secondary Schools

If there are more requests for places than places available, the Authority will admit children in the following order of priority:

1. children with an Education, Health and Care Plan or Statement of special educational needs naming the school;
2. children in public care, have been adopted from public care or adopted from abroad who are due to transfer;
3. children who are due to transfer and live in the catchment area;
4. children who are due to transfer who have been allocated a permanent place at a Specialist Resource Base attached to the school (Places allocated by Norfolk County Council's Placement Panel);
5. children who are eligible for the service premium. A pupil is eligible for the service premium if:
 - a) one of their parents is serving in the regular armed forces (including pupils with a parent who is on full commitment as part of the full time reserve service);
 - b) they have been registered as a 'service child' on the January school census at any point since 2016;
 - c) one of their parents died whilst serving in the armed forces and the pupil receives a pension under the Armed Forces Compensation Scheme or the War Pensions Scheme.
6. children who are due to transfer and live outside the catchment area, who have an older brother or sister attending the school at the time of admission (but not the sixth form);
7. children who are due to transfer who live outside the catchment area and attend a feeder school at the opening date of the admission round i.e., 11 September 2023;
8. children of staff at the school
 - a) where the member of staff has been employed at the school for two or more years at the time at which the application for admission to the school is made, and/or
 - b) the member of staff is recruited to fill a vacant post for which there is a demonstrable skill shortage
9. children who are due to transfer and live outside the catchment area.

If all children within any of the above rules cannot be offered a place, the highest priority will be given to children living nearest to the school within that rule. To determine who lives nearest, distance will be measured on a straight line 'crow fly' basis, using Ordnance Survey data. If following the application of admission rules and distance two applicants cannot be separated for a final place at a school the authority will use random allocation to determine the priority for the remaining place.

Oversubscription rules for admission to Reception classes in community and voluntary controlled schools for children due to start school in the school year 2024/25

If there are more applications for places than there are places available, the Local Authority will give priority to children living nearest to the school, according to the following rules in this order of priority:

Children who are due to start school and:

1. have an EHCP or statement of special educational needs naming that school
2. children in public care, have been adopted from public care or adopted from abroad who are due to transfer
3. live in the catchment area and who have a sibling attending the school at the time of their admission
4. live in the catchment area who have a brother or sister attending the feeder junior school
5. have a disability and live in the catchment area (Appropriate professional evidence will be required to confirm the disability)
6. live in the catchment area
7. have been allocated a permanent place at a Specialist Resource Base attached to the school. (Places allocated by Norfolk County Council's Placement panel)
8. children eligible for the service premium. A pupil is eligible for the service premium if:
 - a) one of their parents is serving in the regular armed forces (including pupils with a parent who is on full commitment as part of the full time reserve service);
 - b) they have been registered as a 'service child' on the January school census at any point since 2016;
 - c) one of their parents died whilst serving in the armed forces and the pupil receives a pension under the Armed Forces Compensation Scheme or the War Pensions Scheme.
9. live outside the catchment area who have a brother or sister with a statement of special educational needs attending the school at the time of their admission
10. live outside the area served by the school who have a brother or sister attending the school at the time of their admission
11. live outside the catchment area who have a brother or sister attending the feeder junior school
12. have a disability and live outside the catchment area (Appropriate professional evidence will be required to confirm the disability)
13. children of staff
 - a) where a member of staff has been employed at the school for two or more years at the time at which the application for admission to the school is made and/or
 - b) the member of staff is recruited to fill a vacant post for there is a demonstrable skill shortage
14. live outside the catchment area

If all children within any of the above rules cannot be offered a place, the highest priority will be given to children living nearest to the school within that rule. To determine who lives nearest, distance will be measured on a straight line “crow fly” basis, using Ordnance Survey data. The address will be measured from the post office address point on the property.

In the unlikely event that distance does not separate the final two or more pupils seeking the last remaining place, a random allocation will be used to determine who is offered the final place.

NOTE: Criteria 7 only applies to schools which have a Specialist Resource Base on site.

Feeder school priority will only apply in the first year of entry to the school.

Oversubscription rules for pupils transferring to community and voluntary controlled junior schools (Year 3) for children in their last year at an Infant or First school.

If there are more applications for places than there are places available, the Local Authority will give priority to children living nearest to the school, according to the following rules in this order of priority:

1. children with an EHCP or statement of special educational needs naming that school
2. children in public care, have been adopted from public care or adopted from abroad who are due to transfer
3. children who are due to transfer, living in the catchment area who have a brother or sister attending the school at the time of their admission
4. children who are due to transfer, living in the catchment area who have no brother or sister connection with the school
5. children who are due to transfer and have been allocated a permanent place at a Specialist Resource Base attached to the school. (Places allocated by Norfolk County Council's Placement panel).
6. Children eligible for the service premium. A pupil is eligible for the service premium if:
 - a) one of their parents is serving in the regular armed forces (including pupils with a parent who is on full commitment as part of the full time reserve service);
 - b) they have been registered as a 'service child' on the January school census at any point since 2016;
 - c) one of their parents died whilst serving in the armed forces and the pupil receives a pension under the Armed Forces Compensation Scheme or the War Pensions Scheme.
7. children who are due to transfer, living outside the catchment area who have a brother or sister attending the school at the time of their admission
8. children who are due to transfer, living outside the catchment area and attend a feeder school at the opening date of the admission round.
9. children of staff
 - a) where a member of staff has been employed at the school for two or more years at the time at which the application for admission to the school is made and/or

b) the member of staff is recruited to fill a vacant post for there is a demonstrable skill shortage

10. children who are due to transfer, living outside the catchment area served by the school who have no brother or sister or feeder school connection with the school.

11. children attending primary schools with a brother or sister at the junior school

12. children attending primary schools with no brother or sister at the junior school.

If all children within any of the above rules cannot be offered a place, the highest priority will be given to children living nearest to the school within that rule. To determine who lives nearest, distance will be measured on a straight line “crow fly” basis, using Ordnance Survey data. The address will be measured from the post office address point on the property.

In the unlikely event that distance does not separate the final two or more pupils seeking the last remaining place, a random allocation will be used to determine who is offered the final place.

Important Note

‘School’ is defined as the main school and not a learning support centre or nursery class attached to the school. This means that no priority would be given to a child from outside the catchment area who had either a brother or sister at the attached nursery class or in temporary or part-time attendance at the attached learning support centre. The address given on the application form will be used to decide the catchment school.

Children in their last year (Year 2) at an Infant will be considered due to transfer. Children attending a primary school are considered as not due to transfer and therefore their applications have the lowest priority for a place even if they live in the catchment area of the school.

Feeder school priority will only apply in the first year of entry to the school.

NOTE: Criteria 5 only applies to schools which have a Specialist Resource Base on site.

Cabinet

Item No: 10

Report Title: Homes for Ukraine Programme – update and next steps

Date of Meeting: 11 January 2023

Responsible Cabinet Member: Cllr Andrew Proctor (Leader of the Council and Cabinet Member for Strategy and Governance))

Responsible Director: Tom McCabe (Executive Director of Community and Environmental Services)

Is this a Key Decision? Yes

If this is a Key Decision, date added to the Forward Plan of Key Decisions: 12 December 2022

Introduction from Cabinet Member

Norfolk has welcomed nearly 1,300 Ukrainian Guests, fleeing the war in Ukraine, as part of the Homes for Ukraine Scheme, with additional refugees arriving through other visa schemes. Over 550 Hosts across the County have made a generous offer of support, opening their homes to Guests and, with the wider communities, welcoming Ukrainian Guests to Norfolk.

Norfolk County Council oversees and manages the Homes for Ukraine Scheme on behalf of the government, utilising our strong track record of successfully welcoming and settling refugees from Syria, Afghanistan, Hong Kong and Congo.

Since March 2022 we have worked in partnership across Norfolk, using our existing mechanisms and resources to rapidly roll out support to Hosts and Guests to ensure that people are safe, supported and are able to enjoy life in Norfolk after escaping the trauma of war. There are some wonderful examples of the lengths our staff and VCSE sector have taken to provide this support, from running local community support sessions across the county, to putting packs together to support children arriving, as well as supporting and encouraging volunteering opportunities for Guests.

Norfolk continues to be open and welcoming county, something that we can all be proud of. As we move forward, our work on this programme will start to focus on supporting Guests to put longer term plans in place to enable them to live healthy and fulfilling lives. The recent government announcement of additional support for the programme is very much welcomed and we plan to put this support to good use. This announcement included an increase in the value and length of Thank You payments to Hosts, further boosting the increased payments already being made in Norfolk, something which I know was very much welcomed and I am pleased that the Government have recognised the importance of doing this.

Recommendations:

- 1. To acknowledge the fantastic work carried out across Norfolk to welcome nearly 1,300 Guests to Norfolk, in particular to thank Hosts who have opened their homes for Guests, and to recognise the work carried out across the public and voluntary sectors and in communities to successfully welcome Guests to our county.**
- 2. To agree that work to deliver the Homes for Ukraine programme continues and further work to develop a planned package of activity to support Guests and Hosts to settle into healthy and fulfilling lives is carried out, to be called the 'Move On' programme.**
- 3. Delegate authority to the Director for Community, Information and Learning, in consultation with the Leader of the Council, to agree and implement the developed 'Move On' programme, including re-apportionment of ring-fenced funding provided by Government, as needed, to deliver requirements and responsibilities.**

1. Background and Purpose

1.1 To date, Norfolk has welcomed nearly 1,300 Ukrainian refugees to over 550 Hosts as part of the homes for Ukraine scheme. To support this, we have worked with our in-house teams as well as other public and voluntary sector bodies to develop robust and collaborative processes for supporting Guests to integrate into our communities including:

- Community Welcome Sessions providing advice and support on a range of issues including housing, immigration, employment, and training. Including a careers fair at the Forum
- Host networking sessions, providing information to enable Hosts to better support their Guests with things like cultural differences, celebrations and trauma support techniques
- Weekly Host newsletters highlighting important information and events
- Regular visits from trained staff to provide support at 3, 6 and 9 month intervals and housing and accommodation checks
- Created social care capacity to support unaccompanied minors to remain safe and support their Hosts

- Processed over 2,000 Host payments in line with Government guidance. In addition, we implemented cost of living increases to Host payments over a 6-month period, recognising the pressures Hosts will be facing to their household budgets
- Created ring fenced temporary accommodation across the County to ensure no Guest becomes homeless
- Developed a “ready homes” list to support Guest re-matching where circumstances require it and reduce or mitigate the need for temporary accommodation

A summary of the key elements of support provided to date is set out in Appendix A.

1.2 As we progress through to the next phase of the scheme, a range of approaches will be required to ensure that Guests are able to settle in Norfolk for the longer term, in ways that meet their needs and reduce pressure on key services and sectors. These plans are in response to local and national insight highlighting some of the issues that Ukrainian refugees under the scheme will be experiencing, and will be developed to reflect the renewed government guidance and funding parameters released on the 14 December 2022.

1.3 The Government announcement issued on the 14 December 2022 outlines the next stage of the scheme, for which we expect new detailed guidance to emerge, in summary announced:

- Homes for Ukraine Hosts to receive an increased amount of £500 a month as a ‘thank you’ for ongoing support after Ukrainian’s first year of sponsorship. In Norfolk we have already increased Host payments for 6 months from November 2022 to £400 and will revise payments to reflect the above as Hosts move to month 13 and beyond.
- Funding for local authorities across the UK to help support Ukrainian Guests move into their own homes and reduce the risk of homelessness
- Councils in England to receive funding to acquire housing stock for those fleeing conflict (including from Ukraine and Afghanistan) and reduce homelessness
- Reduction of the per Guest tariff for new arrivals into the scheme from 1 January 2023 to £5,900

2. Proposal

2.1 To carry out work to develop a programme of activity to deliver the next phase of the scheme. This programme will be developed in line with Government guidance, including the newly announced guidance.

- 2.2 Funding for these programme will be drawn from the existing government funding, as well as additional funding recently announced, provided as a ring-fenced grant. We will utilise this funding to provide a programme of 'Move on' activities that will include support to:-
- to access appropriate housing/accommodation and longer term housing solutions
 - support independence, including, for example, accessing employment and developing English language and other skills
 - settle in Norfolk, elsewhere in the UK, or to return to communities in Ukraine
 - continue to provide community help sessions through libraries
 - continue to maintain social care capacity in Children's Services and Adult Social Care
 - continue to support both Guests and Hosts
- 2.3 The existing programme includes funding allocations to local housing authorities (district councils) and has enabled support mechanisms to be effectively implemented. As part of the programme, it is also proposed to continue funding for local housing authorities so that important welfare and accommodation support can continue to be provided.
- 2.4 To enable the rapid and flexible delivery of activities and support, it is proposed that authority to develop, agree and implement the programme is delegated to the Director for Community, Information and Learning, in consultation with the Leader of the Council.
- 2.5 To successful deliver the programme will require continued joined up working, particularly with district councils. We will continue to regularly engage at a strategic leadership level across Norfolk through the Public Service Leaders Board, as well as through relevant officer groups.

3. Impact of the Proposal

- 3.1 Support Guests to integrate safely and successfully into Norfolk Communities, or elsewhere. As well as providing positive outcomes for Guests, these proposals also seek to mitigate wider risks and pressures in terms of housing, employment, and community tension.

4. Evidence and Reasons for Decision

- 4.1 The recently published outcomes from the Office of National Statistics (ONS) survey of Ukrainian Guests highlights the key areas these proposals seek to support and mitigate. As well as anecdotal, local information from Hosts, Guests and staff involved in the scheme. This is combined with revised

government guidance which requires local authorities to put in place longer term, sustainable housing options.

5. Alternative Options

- 5.1 There is the option to continue operating the scheme as we are at present and encourage Guests to make longer term support independently. Whilst it is possible that this could be acceptable for a small number of Guests, there are many who do not have the resources to enable them to access housing, employment, and skills markets without additional support. The longer-term impacts of not putting a broader programme in place will result in wider pressures on statutory services. As well as this the funding provided by government as part of this scheme is intended to fund the services and support summarised in these proposals. Not revising the Norfolk approach for the next phase of the scheme could also mean that we were unable to draw down all government funding available as part of the funding for housing provision announced on the 14 December 2022.

6. Financial Implications

- 6.1 The cost of these proposals will be fully defined as part of the development of the programme and will fall within the total ring-fenced grant made available by Government to the County Council. This is made up of the government tariff of £10,500 per Guest for 2022, £5,900 per new Guest in 2023 onwards, alongside additional funding announced for the purchase of housing. Additional Host payments of £500 for the following 2 years of the scheme will be funded by central government and drawn down quarterly in line with spend. Where possible, we will progress activities that have a benefit to the wider refugee cohort in Norfolk, but will need to do this within any Government guidance associated the use of the ring-fenced grant.

7. Resource Implications

- 7.1 **Staff:** Staffing to develop the scheme be provided as per the existing scheme. If there is a need for additional staffing, this will be factored into plans and funded from the ring-fenced grant.
- 7.2 **Property:** Temporary accommodation sites will continue to operate within existing arrangements and agreements.
- 7.3 **IT:** None

8. Other Implications

8.1 Legal Implications: Responsibilities are as delegated under the government guidance for the scheme, and all activities will continue to be developed and delivered within this guidance.

8.2 Human Rights Implications: None

8.3 Equality Impact Assessment (EqIA) (this must be included):

An EqIA for the current programme is in place and actions identified are being implement. The EqIA will be refreshed as part of the work to develop a programme of additional activities.

8.4 Data Protection Impact Assessments (DPIA): None. Relevant agreements are in place and if the need for new agreements is identified they will be completed as part of the development of the programme.

8.5 Health and Safety implications (where appropriate): None

8.6 Sustainability implications (where appropriate): None

8.7 Any Other Implications: None

9. Risk Implications / Assessment

9.1 A risk register for the programme is maintained. The key risks and mitigation measures are:-

Risks	Mitigating measures
Overspends in Year 1 and Year 2 require use of reserve, resulting in limited funding for Year 3	Close budget management by NCC is required to ensure effective budget management, with regular reporting to the Programme Board providing oversight, accountability, and governance. In addition, if we don't use funding for these proposals, the costs will be significantly higher for wider council budgets in terms of Health, Social Care and Housing.
Future, unfunded costs arise due to programme expansion without requisite increase in funding	Programme Board tasked to provide leadership and governance to overall programme, ensuring no mission creep and utilising/repurposing existing funding streams to meet any new demands

Increase or decrease of Guests affect budget modelling and overall budget envelope	Continuous requirement to review, update and adapt the scheme and associated costings, ensuring committed spend is in line with funding based on per Guest tariff
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10. Select Committee Comments

10.1 Not applicable

11. Recommendations

- 1) To acknowledge the fantastic work carried out across Norfolk to welcome nearly 1,300 Guests to Norfolk, in particular to thank Hosts who have opened their homes for Guests, and to recognise the work carried out across the public and voluntary sectors and in communities to successfully welcome Guests to our county.
- 2) To agree that work to deliver the Homes for Ukraine programme continues and further work to develop a planned package of activity to support Guests and Hosts to settle into healthy and fulfilling lives is carried out, to be called the 'Move On' programme.
- 3) Delegate authority to the Director for Community, Information and Learning, in consultation with the Leader of the Council, to agree and implement the developed 'Move On' programme, including re-apportionment of ring-fenced funding provided by Government, as needed, to deliver requirements and responsibilities.

12. Background Papers

14/12/22 – Government announcement - [New over £650 million support package for Ukrainians sees increased 'thank you' payments for longer-term hosts - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/news/new-over-650-million-support-package-for-ukrainians-sees-increased-thank-you-payments-for-longer-term-hosts)

Officer Contact

If you have any questions about matters contained within this paper, please get in touch with:

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If you need this report in large print, audio, braille, alternative format or in a different language please contact 0344 800 8020 or 0344 800 8011 (textphone) and we will do our best to help.

Homes for Ukraine – summary of key elements of support provided through the Norfolk Programme to date

1,289 -Current Guests in Norfolk	582 - Sponsors/Hosts With Guest(s)	2,000+ Host 'Thank You' Payments Made	Increase to "Thank you" payments to support cost of living in place
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Award winning ESOL Support

Since the arrival of the first Ukrainian guests in Norfolk, Adult Learning's English for Speakers of Other Languages (ESOL) and Learner Services teams have been providing a highly responsive service to over 330 learners from Ukraine.

150 Ukrainian guests had no spoken English and joined our Everyday Conversations programme. Support provided to refugees includes Summer Coffee and Chat sessions and information drop-in sessions in collaboration with the libraries.

An innovative and inclusive collaboration with Norfolk Fire and Rescue Service (NFRS), has enabled people from abroad who have recently arrived in Norfolk to learn English and fire safety at the same time. This work has been nationally recognised, as NFRS and Adult Learning have received the Asian Fire Service Association 'Partnership of the Year' award 2022.

Examples of the impact of the programme

"I really didn't know what to expect at the start of this but I'm amazed how well this has turned out, x is very much part of our family." x's parents have since moved to the UK and are staying with Hosts in Norfolk. x is in constant contact with them, meets up with them on a regular basis and they are all looking forward to spending Christmas as a family. Long term they are hoping to find a home all together and stay in the UK.

"Our Host family in the UK welcomed us with open hearts. -We could see compassion, excitement, and concern in their eyes."

"From the very beginning, I was looking for a job to be more independent and to be able to support my life. In the end I got an offer from [employer name]. Thank you to my manager for believing in me."

"When I came for the first support session I met [council and voluntary sector colleagues]. They were extremely friendly, helpful, and made me feel right at home. They are eager to help Ukrainian people to improve their spoken English skills by having conversations, to learn more about customs and traditions of the UK, to exchange their experience of living in a new environment and integrate into a new society."

Cabinet

Item No: 11

Report Title: Health, Safety and Well-being Mid-Year Report 2022-23

Date of Meeting: 11/01/2023

Responsible Cabinet Member: Cllr Andrew Proctor (Leader and Cabinet Member for Strategy & Governance)

Responsible Director: Paul Cracknell, Executive Director of Transformation and Strategy

Is this a Key Decision? ~~Yes~~ / No

If this is a Key Decision, date added to the Forward Plan of Key Decisions: N/A

Executive Summary / Introduction from Cabinet Member

As an employer Norfolk County Council (NCC) is required to have in place a management system to ensure the health and safety of our employees and others affected by our business undertaking; including anyone we provide services to (either directly or through a 3rd party) such as school pupils, commissioned services clients, contractors and members.

This report provides data and analysis on the Health, Safety and Well-being (HSW) mid-year performance of NCC as an employer so that members have the information necessary to satisfy themselves of the effectiveness of the NCC health and safety management system, or where necessary to identify actions for Executive Directors and others to improve the performance against the 3 key outcome goals:

- NCC has a positive health, safety and well-being (HSW) culture
- The standard of HSW management ensures employees are at work, well and productive
- HSW has a successful strategic approach to trading and cost recovery

(Further detail and explanation of the measures is provided in Appendix 2)

The report also provides an update to the national benchmark of reportable incidents per 1000 f.t.e as these are published by the Health and Safety Executive (HSE) in November of each year

The data provided in this report needs to be reviewed in the light of the recovery from the pandemic, and the effects of organisational change and the influence this has had on both services and individuals. Whilst as normal, the reporting periods data has been compared to the same period last year as was the case for the last two years, this once again needs to be reviewed with caution as the years are not in and of themselves comparable. For example, the data reflects the increase in incidents classed as other causes, this is, in part influenced by the transition of Norfolk Fire and Rescue Service health and safety services to the NCC team and alignment of recording categories. Additionally core mandatory training data is currently unavailable as a result of transitioning to a new HR and Finance system and is therefore not reported.

Whilst mental health absence continues to be the largest cause of ill health absence for NCC it remains below the vital signs target of 1.2% of lost time due to sickness absence at 0.93% for all NCC and has done throughout the reporting year. This is against a national trend of elevated levels of anxiety and depression. However, directorates continue to prioritise wellbeing support for employees to reduce absence in this area. In addition, our review of our organisational approach to wellbeing is well underway, the findings of which will provide a refreshed strategy to support workplace wellbeing.

The key highlights from the data includes:

Mental health and wellbeing

- Following the reintroduction of Mental Health First Aid Champion (MHFAC) training the number of mental health first aid champions has risen to 521, whilst this is a positive factor for the organisation, the number of managers across NCC has only marginally increased to 19.9% versus 19% in the previous period – with the core NCC target being that all managers have completed the MHFAC training.
- Norfolk Support Line (NSL) use has exceeded expectations with 12.4% of employees accessing support. Work as a primary presenting issue has increased from 15% at the end of last year to 19%. However, this remains below the target of ≤25%
- 4 teams have accessed critical incident support so far this year
- Well-being Advisor (WBA) referrals have decreased slightly compared to the same point last year (from 73 to 64) 28.1% of referrals related to work, slightly over the target of ≤25%. 89% of employees are in work following support compared to 72% at the point of access.
- 13 teams have participated in team-based stress risk assessments so far this year. One directorate achieved above target scores, with the others identifying areas to focus on regarding effect of change, communication and relationships.

- The Wellbeing team have organised 6 CPD sessions during this period for Well Being Champions and Mental Health First Aid Champions – over 400 persons attended these sessions.

Musculoskeletal health

- Musculoskeletal absence in this period, accounts for 0.37% of lost time compared to 0.52% for the same period last year
- 181 employees in NCC Services were referred to the Musculoskeletal Rehabilitation Scheme (MIRS) this year (excluding schools). No department is meeting the expected level of referral of 8% with Strategy and Transformation achieving the highest referral rate at 3.75%. However, this may reflect the reduction in musculoskeletal absence overall.
- 85% of employees were at work at the time of referral which is a reduction on the end of year position of 96% and falls short of the target of 90%.
- The service is estimated to have prevented 1349 days of absence so far this year which equates to £101,175

Management of health and safety

- The number of reportable incidents has significantly decreased compared to the same point last year (from 1.36 per 1000 f.t.e to 0.09).
- The number of non-reportable incidents has risen overall compared to the same point last year (from 59.91 per 1000 f.t.e. to 60.54) but has also shown an increase in reporting of near miss events, which are viewed as a positive indicator in relation to reporting culture.
- The end of year position of 1.29 reportable incidents per 1000 f.t.e continues to remain below the national benchmark figure of 2.22 for 2021/22
- The timeliness of reviewing and signing off incidents has remained static - 85% of incidents reviewed by managers within 90 days against a target of 90%. There are still a number of incidents predating 2021 that have not been reviewed, the majority of which relate to schools. Whilst the support given by HSW has had some impact, this process is resource intensive and has not resulted in any significant gaps in management actions being identified and therefore it is recommended that HSW close all incidents that predate 2021.
- Violence remains the single biggest cause of incidents. The number of incidents has marginally increased compared to the same period last year. It should be noted that Children's Services and Education colleagues support some of our most vulnerable children, therefore, preventative measures are often limited and incidents of concern are reviewed by health and safety professionals with the service and these reflect the majority of the incidents occurring. Additional focus and support has been given in relation to these aspects including the re-launch of Norfolk Steps and our internal Personal Safety Training.
- Other top causes of incidents remain similar to at the end of year position, Slip, trip and falls being the second highest category. Many of these occur in primary schools, where the incidents are varied and do not suggest any particular gap in controls. There were a number that related to new chairs

provided in libraries, which had an unforeseen effect – HSW have supported the service to resolve this issue.

- Completion of mandatory health and safety training is currently not reportable due to migrating to a new system, however managers are reminded to review their responsibilities in line with policy and review the training requirements identified. Managers should then seek to embed this into PDP discussions and goal setting.
- The Health and Safety Team have hosted 40 sessions of tutor led training – covering our mandated training. All of these courses have been redesigned and re-launched to ensure they enable managers and employees to feel confident and competent at health and safety delivery.
- £326,318 of traded income has been raised so far this year broadly aligned with the same point last year

Recommendations:

Cabinet are asked to consider the performance report and endorse the proposed actions:

- 1. support Executive Directors to deliver on their Health, Safety and Wellbeing leadership commitments and duties including incident investigation and management, enabling employees to attend mandatory training including Mental Health First Champion training for managers and promoting utilisation of Health, Safety and Wellbeing services.**
- 2. Agree HSW should close all open incidents that predate 2021**

1. Financial Implications

- 1.1. There are no specific financial implications to bring to the attention of Cabinet, although reference should be made to legal implications for Executive Directors and the Head of Paid Service below.

2. Resource Implications

- 2.1 All recommendations will be undertaken within existing resource

3. Other Implications

3.1 Legal Implications:

Health and safety law is criminal law. If the Authority does not have a robust and proactive health and safety management system in place there is a risk that the Authority will be exposed to enforcement action and ultimately prosecution.

Enforcement bodies are able to take action where systems are not in place even in the absence of an incident. Where they do take action sentencing guidelines dictate it is the likely severity of injury (rather than actual injury caused) that influences the sentence as well as the size of the organisation and the simplicity of the control measures. Therefore, if a solution is relatively easy to implement and it is likely to prevent a serious injury there will be significant sentencing consequences of not doing so. Recent public sector fines have been in the region of £100,000 - £1,000,000.

There is also a risk of an increase in successful civil claims made against the authority

It should be noted that as the legal employer in NCC schools these risks also apply to schools, unless their status means we are not the employer e.g. academies.

It should also be noted that where we commission or contract out services and activities this does not negate our health and safety responsibilities under the law, as was seen by the recent improvement notice in this area. It is therefore important that we have good contract management in place.

4. Recommendations

Cabinet are asked to consider the performance report and endorse the proposed actions:

- 1. support Executive Directors to deliver on their Health, Safety and Wellbeing leadership commitments and duties including incident investigation and management, enabling employees to attend mandatory training including Mental Health First Champion training for managers and promoting utilisation of Health, Safety and Wellbeing services.**
- 2. Agree HSW should close all open incidents that predate 2021**

Officer Contact

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Email: Paul.downer@norfolk.gov.uk



If you need this report in large print, audio, braille, alternative format or in a different language please contact 0344 800 8020 or 0344 800 8011 (textphone) and we will do our best to help.

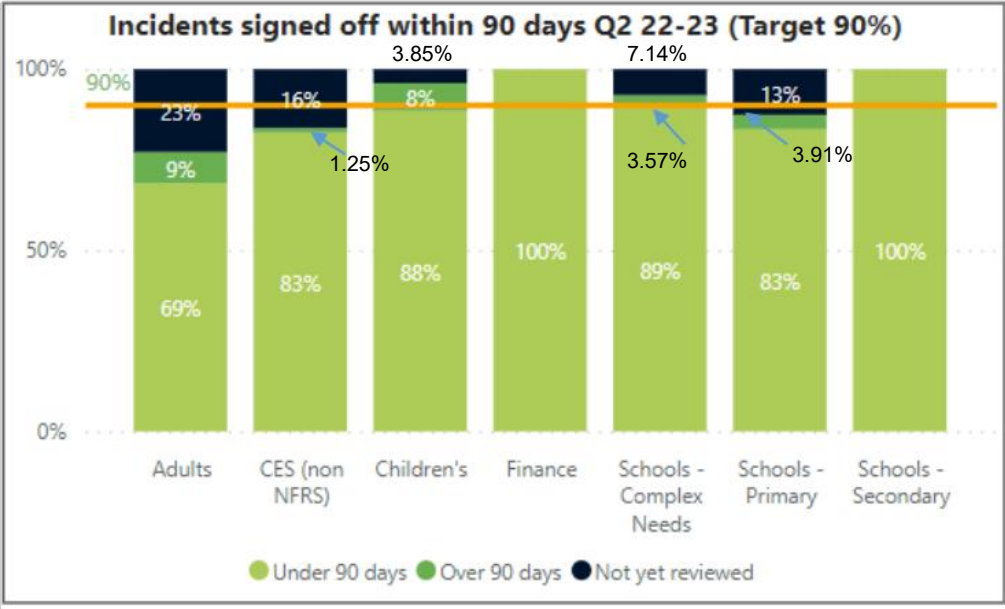
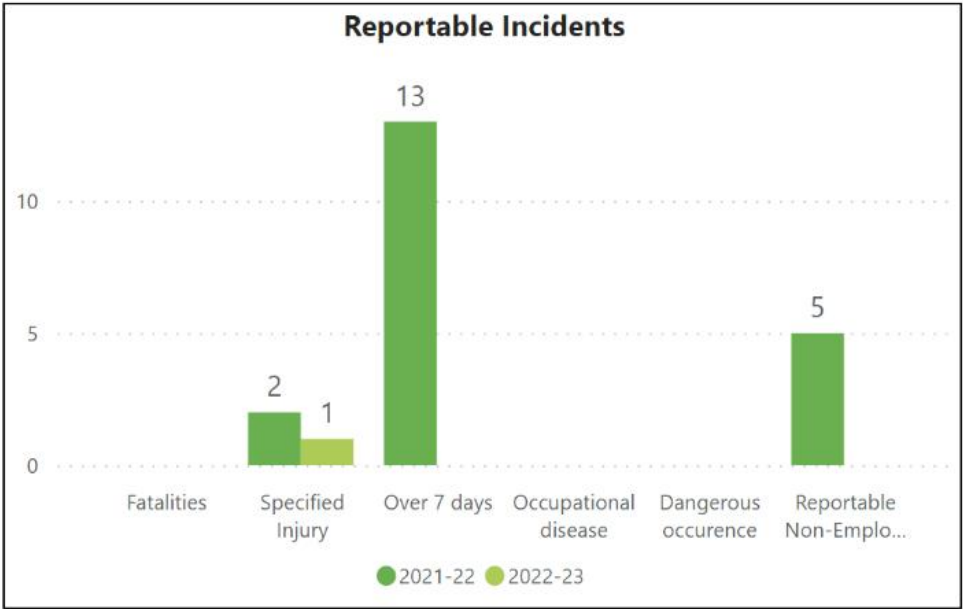
Norfolk County Council

Health, Safety and Well-being
Mid Year Report 2022/23



Outcome 1: A positive health, safety and well-being culture

Incidents

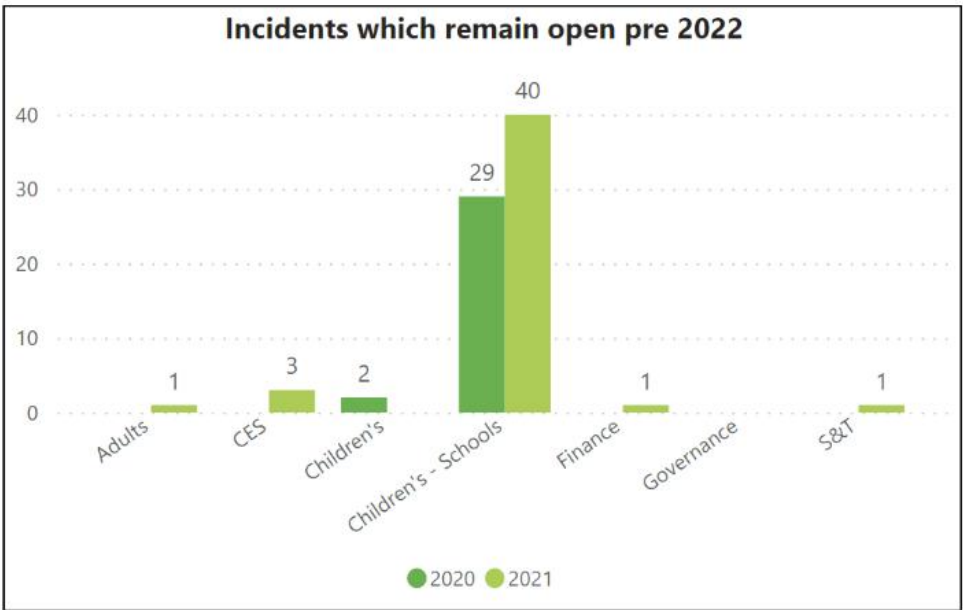


Incidents per 1000 FTE (Employees only including Schools))

Financial Year	Non-reportable	Reportable
2021-22	56.91	1.36
2022-23	60.54	0.09

Non-reportable Incidents by Employee Absence Duration (per 1000 FTE) - including Schools

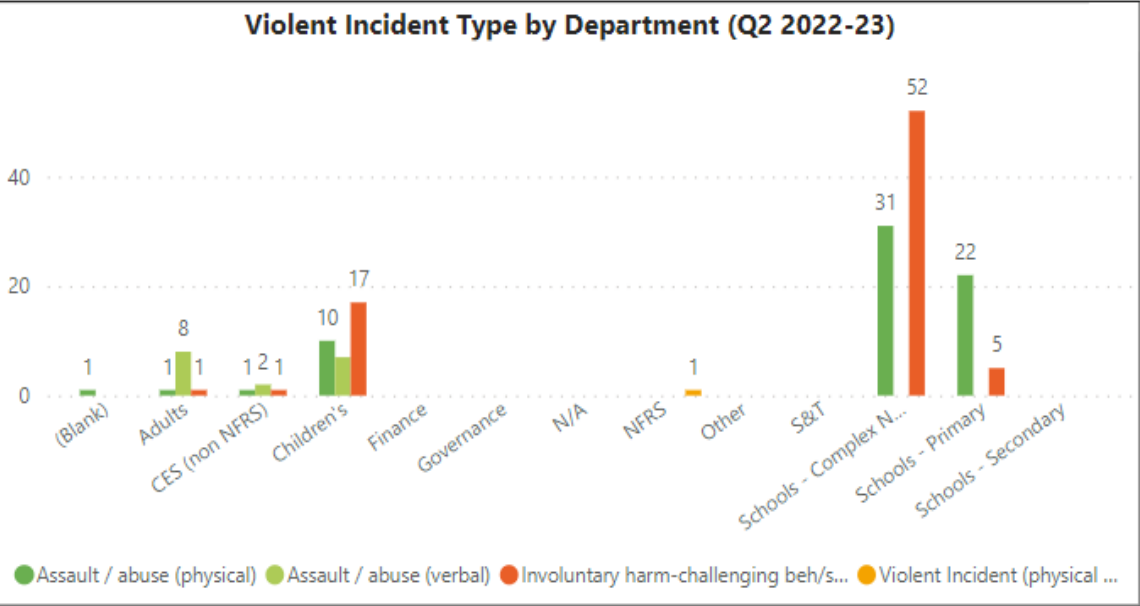
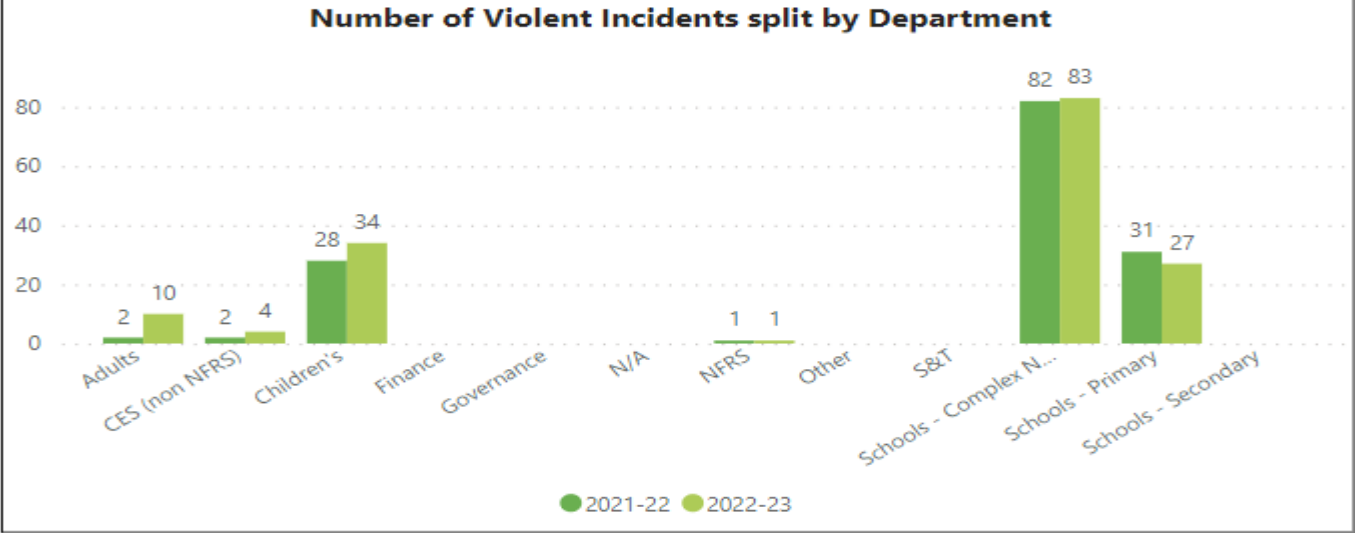
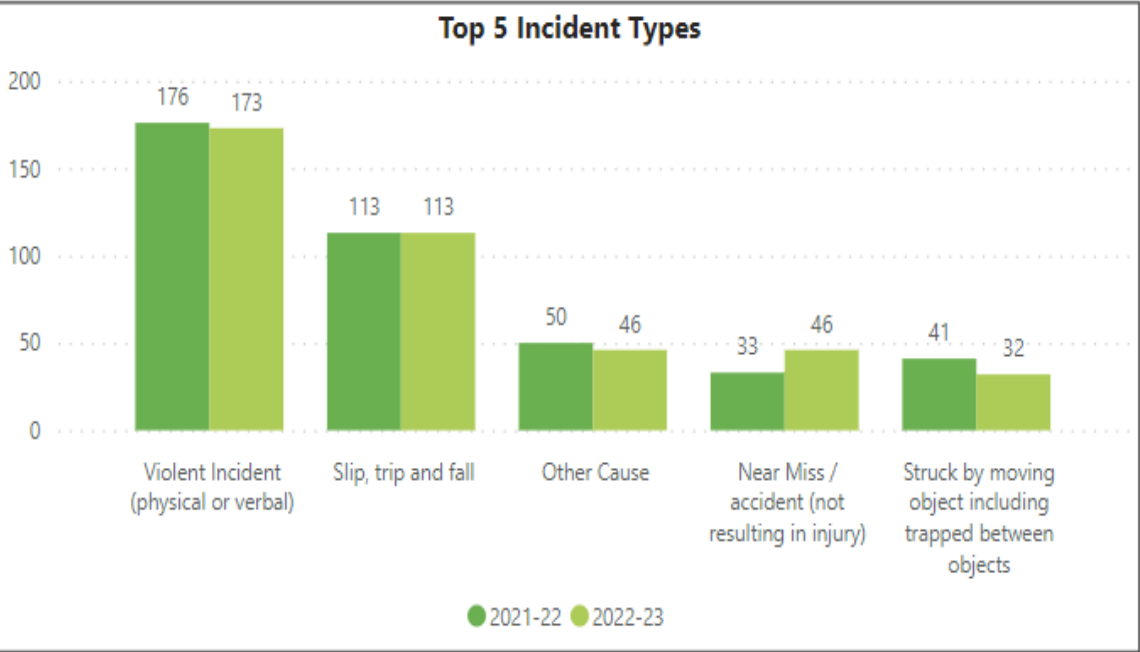
Category	2021-22	2022-23
0-3 days	54.10	58.03
4-7 days	0.91	0.81
Over 7 days	1.27	0.27
Absence not closed	1.00	1.17



- The number of reportable incidents has significantly reduced during this period – the one incident in this period relates to a Primary School – slip / trip and broken bones, this is compared to 19 in same period last year. NFRS has no reportable incidents versus 7 in same period last year. These improvements are due, in the main, to alignment on NCC HSW reporting and the associated HSW RIDDOR decision process.
- Non reportable incidents have shown a slight increase from the previous period – incidents relating to 0-3 days absence up to 58.3 versus 54.01, and over 7 days absence down to 0.27 from 1.27 – per 1000 FTE
- The target for Incident review (sign off) by managers, has been met in some services, and is an average of 85% across NCC (not including NFRS) – which is a slight drop from the 86% in the annual report and below the target of 90%. This is affected by a small number of incidents that are remaining open. ASS, CES and Primary Schools have the most outstanding cases.
- Schools have the most pre 2022 non reviewed cases - 18 complex needs, 51 primary school, although there has been a marked improvement in number of open cases (70 for 2020 in annual report, and now 29) – due to focus from the HSW team to support settings on incident closure. There are in total 78 non reviewed cases pre 2022 (versus 151 in annual report).
- NFRS also have a number of non reviewed ‘safety events’ going back to 20-21. This data is collated manually, due to the separate system and is not reflected above. The transition to OSHENS and alignment of NCC HSW reporting requirements will help to improve this.
- There are still a number of incidents predating 2021 that have not been reviewed. Whilst the support given by HSW has had some impact, this process is resource intensive and has not resulted in any significant gaps in management actions being identified and therefore it is recommended that HSW close all incidents that predate 2021.

Outcome 1: A positive health, safety and well-being culture

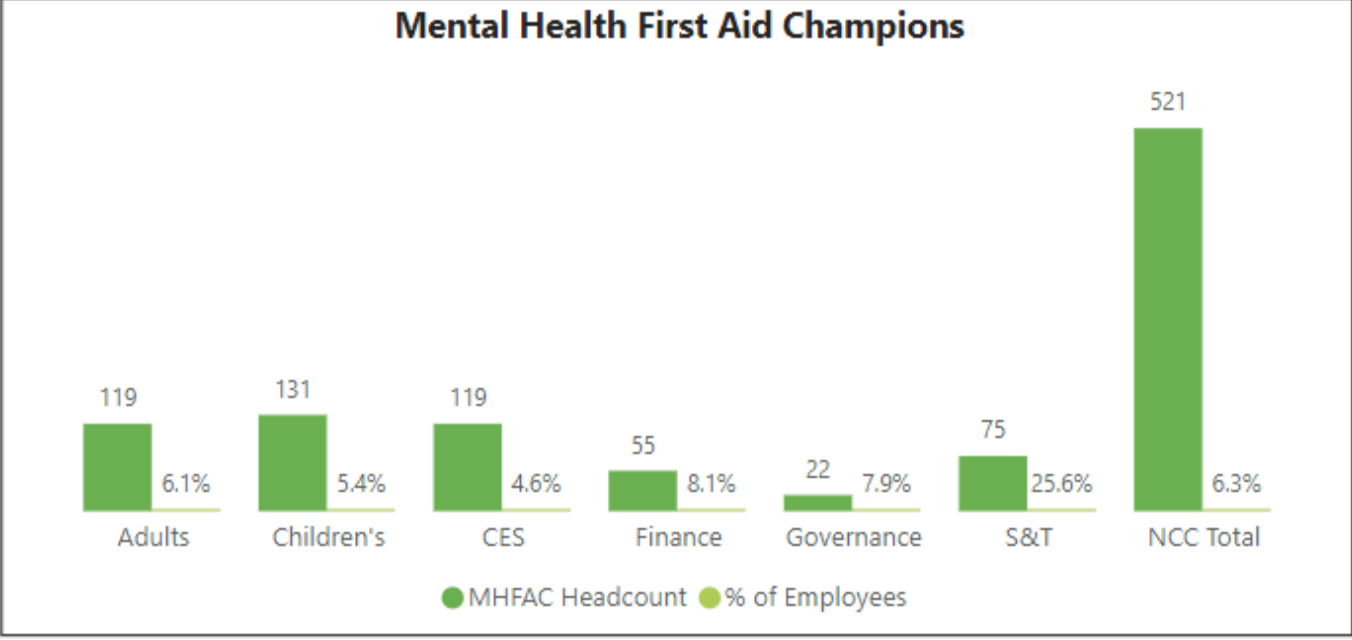
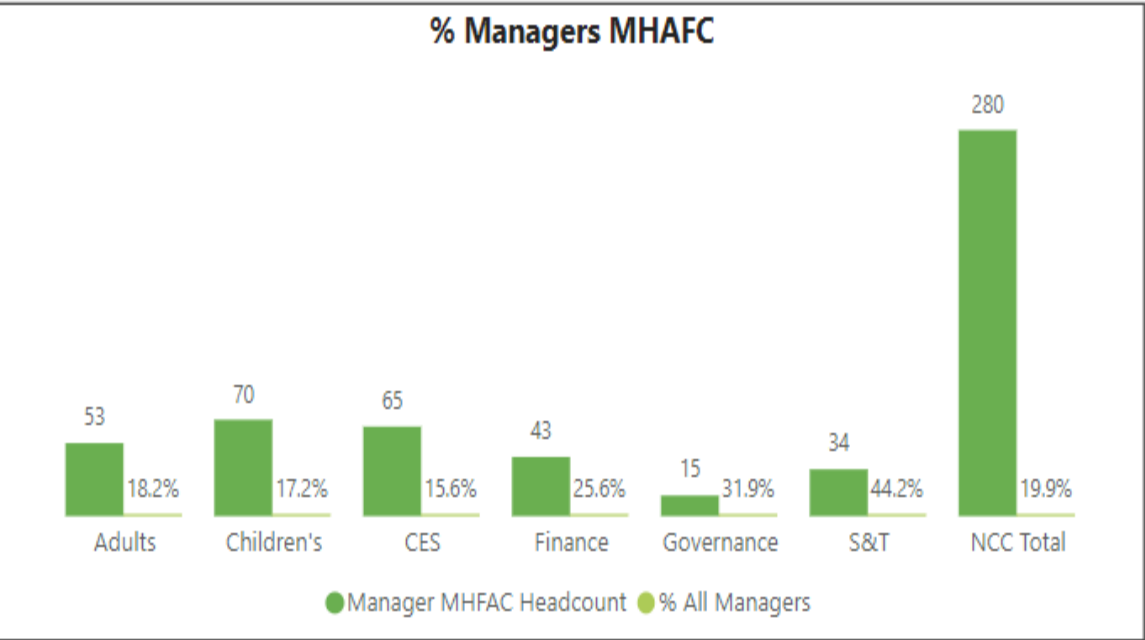
Incidents



- Violence remains the single biggest cause of incidents, the number is slightly lower than this period last year, (90 in 21-22 complex needs vs 83 this period) the majority of which are recorded as involuntary harm, although physical in nature is a significant contributor. These, in the main, occur in Children's Services / Education, specifically complex needs schools, who deal with some of the most challenging service users and the preventative actions available to the service are limited. Working with Children's Services and Educational settings to review these continues to be a priority for the HSW team.
- HSW has undertaken significant development and delivery of our personal safety training (e-learning and tutor led), updated our related compliance code(s), and also supported the re-development of the Norfolk Steps training program – all of which seek to support improvements in the related control measures with regard to violent incidents
- Slip Trip and falls is the second highest category – significantly from Primary Schools and a number related to Libraries. Within schools, the predominate causes relate to pupils playing / outdoor activities – some linked to levels of active supervision, with a small number related to raised paving / pathway maintenance. The library service has had a number of incidents relating to slips and falls from service users regarding chairs that were changed in response to the pandemic – following support from HSW, these chairs are now being replaced.
- Manual Handling incidents have reduced and are no longer within the top 5, this is linked to improvements in NFRS manual handling techniques, and HSW ensuring correct categorisation of incidents – however bariatric handling still presents NFRS with issues and related injuries.
- Other cause, is identifying a number of cases that predominately relate to defects identified in NFRS. The current safety event reporting system includes reporting of faults and defects relating to equipment and the mobilisation system. These will significantly reduce post NFRS transition to OSHENS as many are identified during pre-use checks and do not result in a lessening of safety controls. These will be encompassed within the implementation of separate defect reporting system by NFRS.
- Notably, near miss reporting has increased, which can be taken as a positive indication of a shift in the culture of reporting.

Outcome 1: A positive health, safety and well-being culture

Leadership

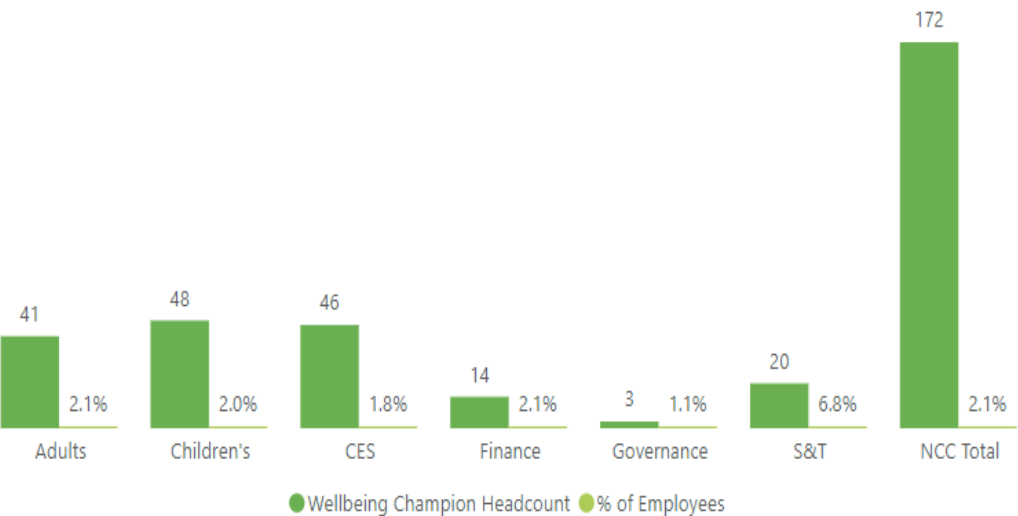


- The percentage of managers completing Mental Health First Aid Champion training shows a slight increase from end of year 19% to 19.9% and the same increase as last year.
- It is also noted there has been an increase in overall persons receiving the Mental Health first Aid Champion training in comparison to last year (437 v 521) whilst positive overall, it indicates that persons other than identified managers (core target) are attending this training. There is some way to go before we achieve the target of all managers completing the training
- It has been noted that there have been sessions where attendees have failed to attend or cancelled at late notice – this affects the aim of training all our managers as the training spaces cannot be re-allocated. Additionally the HSW team are seeking to develop a virtual version of this course to aid ‘attendance’.

Outcome 1: A positive health, safety and well-being culture

Employee Involvement

Wellbeing Champions (Target 4% of FTE)



Wellbeing CPD Sessions:

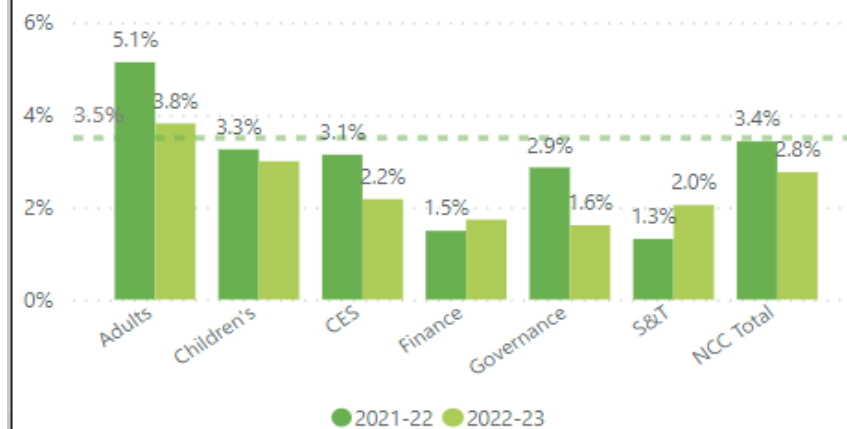
To date this year, 6 CPD sessions for Mental Health First Aid Champions and well-being champions have been delivered – covering Anxiety, loneliness and depression, stress and resilience, menopause, OCD and 5 ways to wellbeing – over 400 NCC people have attended these sessions

- Well-being champions are employees that have been trained to support the delivery of the well-being programme. They act as a focal point for well-being communications to teams. The more well-being champions there are in the organisation the more effective our communications about workplace health and well-being matters. Well-being champions have access to a TEAMS channel where information, guidance, webinars and ideas are shared
- The number of well-being champions overall across the organisation has dropped (296 in same period last year – compared to 172 now) and is well below the target of 4%. The development offer to well being champions is being re-invigorated this year for example full Mental Health First Aid training will be available as well as training on how to deliver 5 ways to wellbeing sessions and training to enable them to support the WRAPS and stress action plan process to build on their expertise and ability to support their teams and the organisation.
- The Well-being team have continued to organise specific CPD courses for our Mental Health First Aid Champions and Well Being Champions, to build on their training and ability to support the organisation and their teams.

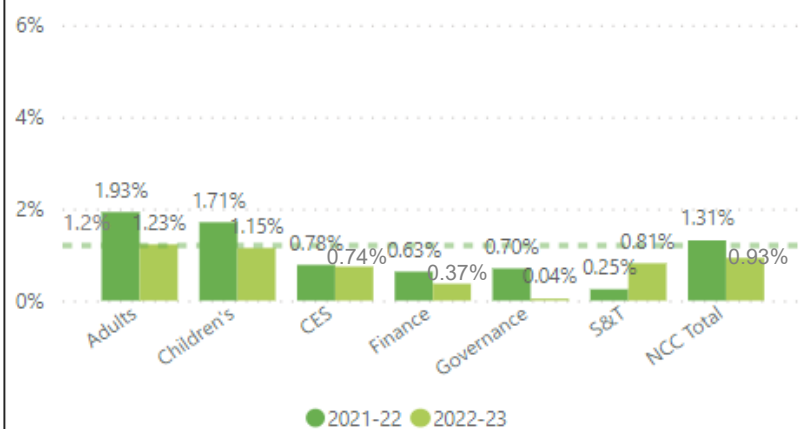
Outcome 2: The standard of HSW management ensures employees are at work, well and productive

Risk Management

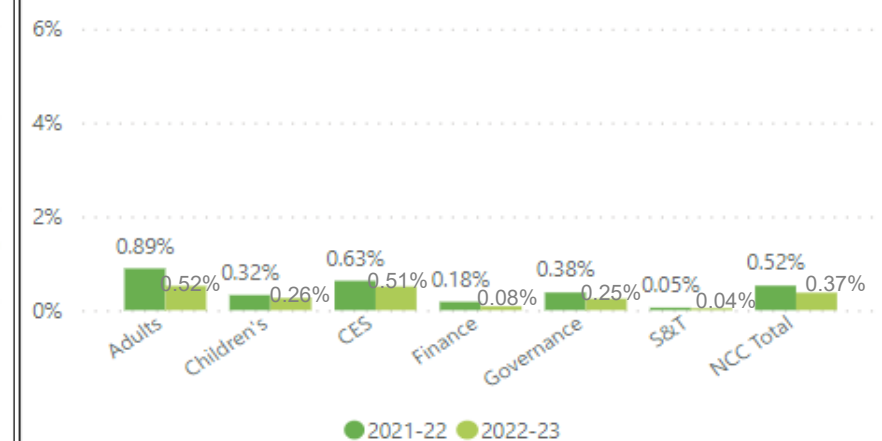
% Time Lost to Absence (All Absence)



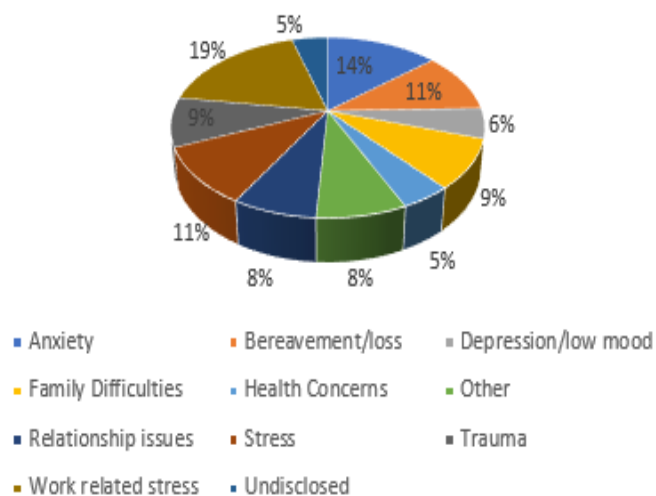
% Time Lost to Absence (Mental Health)



% Time Lost to Absence (Musculoskeletal)



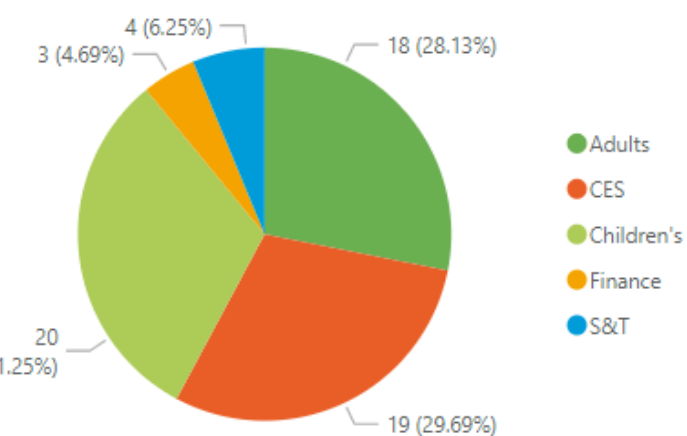
Presenting Issues 2022-3



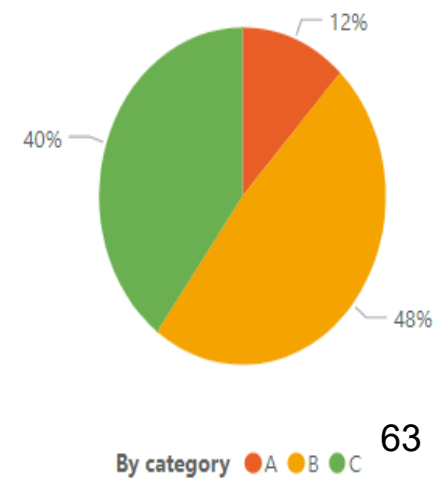
Norfolk Support Line:

- 12.4 % employees accessed
- 19 % work related stress identified as presenting issue
- Critical incident/trauma team support accessed 4 times

Wellbeing Advisor Referrals (Q1-Q2 2022-23)



NCC Monitor Risk Profile (Schools & Premises)



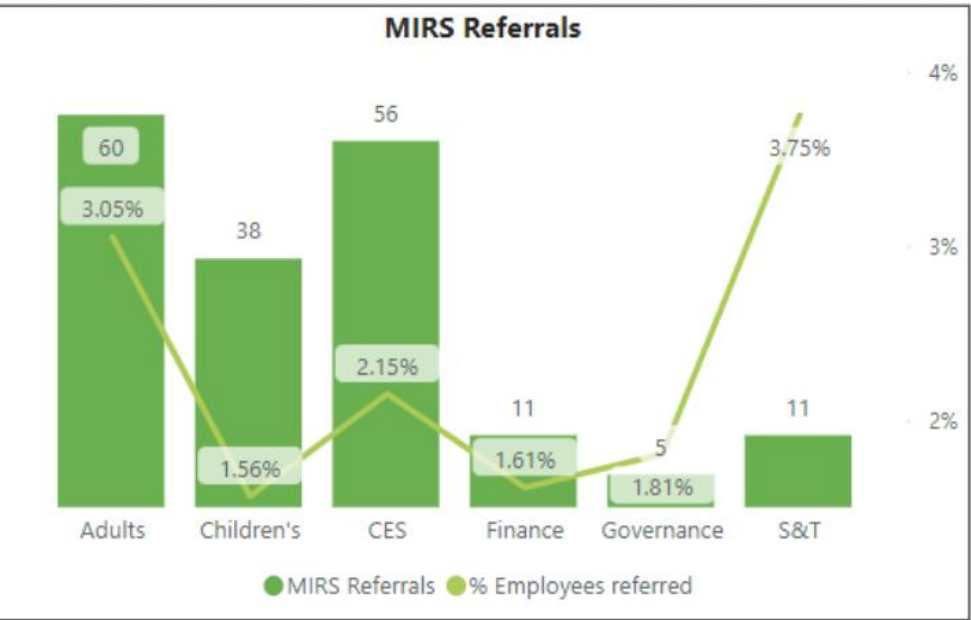
Outcome 2: The standard of HSW management ensures employees are at work, well and productive

Risk Management

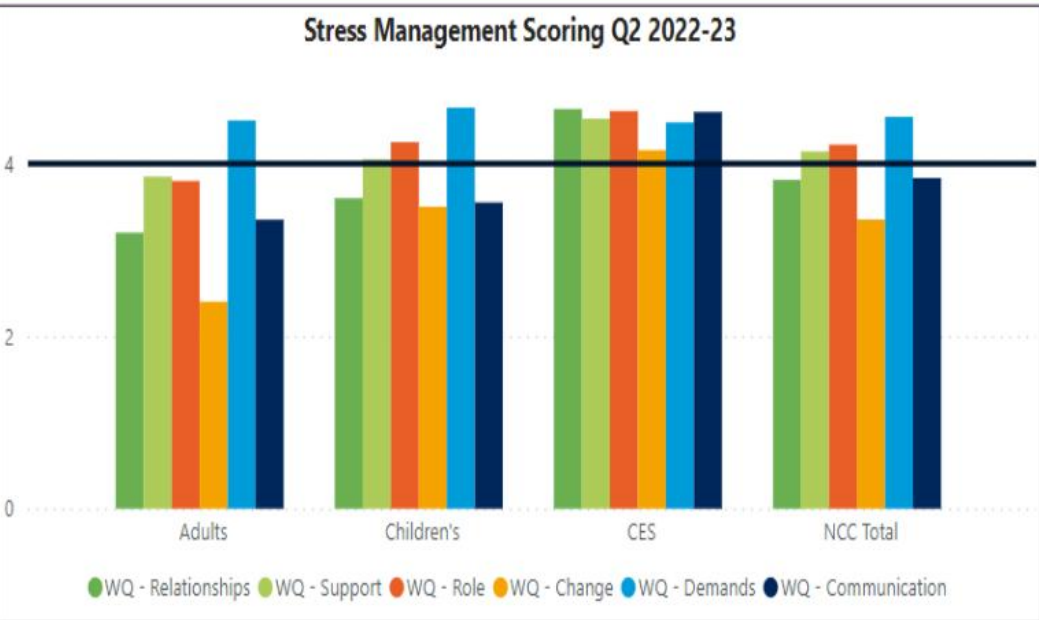
- The percentage of time lost due to mental health has decreased from the end of 2021/22 position (1.43%) to 0.93% overall and nearly all directorates are below the target of 1.2% with the exception of Adults at 1.23%. Whilst S&T remain below the target, lost time due to mental health absence has increased from 0.25% previous period, to 0.81% for this period.
- Absence rates overall due to Mental Health equate to 34% of the total days lost in this period.
- Absence due to Musculoskeletal injury or conditions has decreased from end of 2021/22 position (0.55%) to 0.37% but has also decreased from the same period last year (0.52%) – Absence rates overall due to musculoskeletal equates to 14% of the total days lost in this period.
- H&S team has undertaken in excess of 50 site monitoring inspections across our portfolio during this period, in addition to on-site support and response to incidents. This has continued to inform our premise risk profile (which informs frequency of visits and overall H&S management) and identify areas of improvements both for NCC and our traded partners. It has also identified areas of focus for HSW, and resulted in improvements to our compliance codes and training offer, along with focussed intervention – for example support to Semi Independent Living Service, Libraries and NFRS.
- Norfolk Support Line (NSL) use continues to remain higher than previous years and is at an all-time high of 12.4% compared to the 2021/22 end of year figure of 7.7%. There has been a high level of promotion of the service and this is the highest use of any organisation supported by the provider. As a result the current provider have advised that they cannot continue to provide a viable service and the service is currently being re-tendered.
- NSL counselling report identify Work related stress as the highest presenting issue. Health concerns, bereavement/loss and stress (the latter 2 at same level) are also in the top 3 presenting issues and reasons for calling the service.
- Work as a primary presenting issue is currently at 19%, it remains below the target of $\leq 25\%$, but has increased since end of year report which was at 15%.
- NSL also provide critical incident support: Support for a team when they are affected by a significant incident or an accumulation of incidents. Use of this service in this period is 4 critical incident support cases.
- Wellbeing Advisor (WBA) referrals reduced from 73 during the same period last year to 64 this period. 28.1% of these were work related, which reflects the previously reported trend that employees are more likely to use the wellbeing adviser service for work related issues and NSL for personal issues, albeit there has been an increase in NSL work related support requests. 72.2% of these cases were still at work when referred, 88.9% were able to be back at work as a result of the support.

Outcome 2: The standard of HSW management ensures employees are at work, well and productive

Risk Management



Directorate	% MIRS at Work Referrals
Adults	78%
Children's	89%
CES	84%
Finance	100%
Governance	80%
S&T	100%
NCC Total	85%



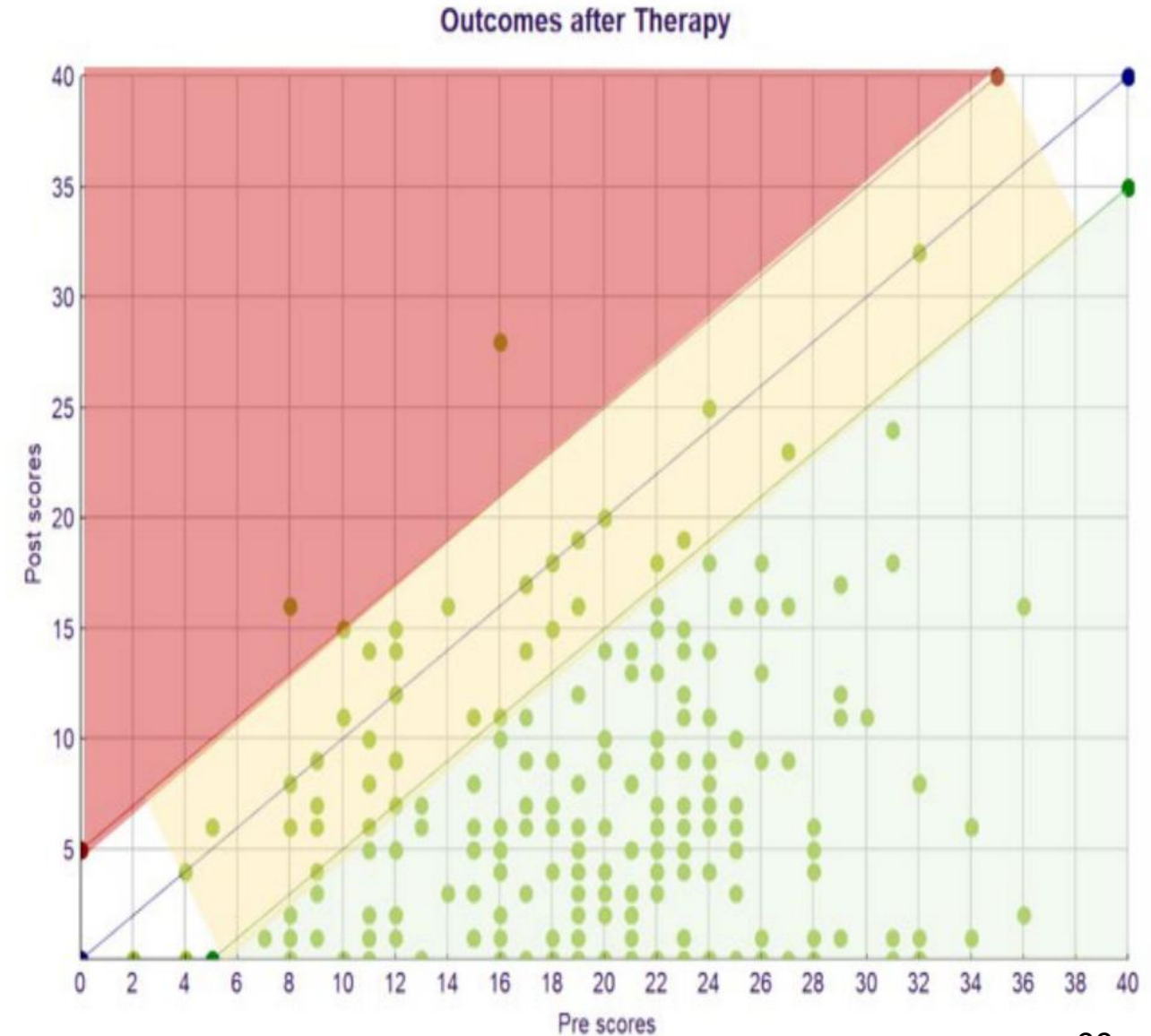
- MIRS continues to make a positive impact on colleagues being at work and well, with treatment making a difference and reducing the number of days absence. Levels of MIRS referrals (% employees) continue to be lower than would be considered good – the target is 8% of employees referred.
- Overall, the % of MIRS referrals whilst at work is 85%, which is a reduction from the same period last year of 96%, versus target of 90%. Due to the levels of musculoskeletal absence (14% of all absence) it is important that managers and employees are encouraged to use this service early, to help keep them well and at work. In this period use of MIRS is estimated to have saved 1349 days of absence – equating to £101,175 for this period.
- Norfolk Audit Service issued the results of an audit of DSE risk management practice during this reporting period. The results of which were red rated and assessed as corporately significant – there are a number of actions required of service departments as a result of this audit. HSW team has revised the guidance in relation to DSE in response to audit findings and improvements for the end users.
- It remains important that all employees undertake the DSE e-learning and DSE assessment and that managers are aware of their responsibilities with regard to this process. Where employees and managers require expert intervention/assessment due to complex health needs, underlying or early indication of musculoskeletal issues, a referral should be made to the MIRS service for an assessment to support this process.
- Well-Being Stress Surveys - In total for this period, 13 stress surveys were undertaken by the well-being team, covering 3 directorates – Adults, Children's and CES. It can be seen from above (based on teams surveyed) that the management of change is the lowest scoring metric, with communication and relationships also seen as requiring improvement. This is particularly important for the forthcoming Strategic Review. The Learning and Development Team have developed a session on engaging leadership to support senior leaders in delivering this significant change well. 2 directorates – Adults and Children's are scoring below target in some areas. It should also be recognised that CES is performing above expectations (score 4 or higher) in all areas for the teams surveyed.

Outcome 2: The standard of HSW management ensures employees are at work, well and production

Risk Management - Impact of the services

Norfolk Support Line (NSL) Results:-

- This chart shows the last 6 months data for Norfolk Support Line. Clients who enter therapy have an initial pre-assessment using a CORE- OM questionnaire to assess level of psychological distress.
- At discharge this assessment is repeated. Green dots represent individual cases and pre / post shift from the initial appointment to completion of therapy.
- Individuals in the green area have reliable positive change during treatment, demonstrating the overwhelming positive impact that treatment brings. The red area indicates a worsening, lack of improvement and yellow, indicates no reliable significant change.



Outcome 2: The standard of HSW management ensures employees are at work, well and production

Risk Management - Impact of the services

Wellbeing Adviser 121 support feedback

"Thank you so much for all your support & guidance. you have been amazing & I do not believe I would have made it back to work without your support."

"Thank you for all the time you have spent with me, you really have been incredible"

"Many thanks once again for all your support over the last few months. I do honestly believe that without your input and support it would have been a great deal more difficult to get back to work. I really appreciate everything you have done for me, you are a star! Thanks again"

MIRS treatment feedback

"The treatment improved my condition immensely and for that I am grateful."

"Assessment was very thorough with a well organised, fast consultation and booking process. The clinic used was very helpful and professional."

"Everything was done swiftly and professionally. The service was very quick andwas really kind, helpful, knowledgeable, and helped me to recover quickly and comfortably. I would like to give a massive thanks to for this."

"IPRS arranged my assessment quickly and they offered exceptional communication throughout the process. The actual treatment was very good and effective."

NSL treatment feedback

It allowed me time to focus on helping myself and improve my situation, provoking reflections and improving my self awareness and changing my mind-set

The support given was amazing, to be listened to, guidance and the tools to navigate through the tough days, to know that you are not alone that there is always the support only a phone call away, it's good to know that there is a safety blanket for you.

Talking to someone who had ideas on how I could improve my situation/help myself without putting any pressure on me to do as I was told. It took the pressure off and actually gave me back a feeling of control at a time I was feeling like I had no control.

Being able to share dark thoughts that you don't feel you can share with others. Also someone not involved trying to keep your thoughts grounded.

Having someone to speak to that you could speak freely to, not needing to worry about upsetting and being able to be honest with about how you feeling.

Learned coping mechanisms for my anxiety and liked seeing my progression over the time I spent with my counsellor

Outcome 2: The standard of HSW management ensures employees are at work, well and productive

Employee competency

Health and Safety Training Update:

To date this period, 40 sessions of the revised tutor-led training have been delivered covering:-

Safe Management of Premises Fire, Safe Management of Premises General, Risk Assessment - essential risk management, Safe Management of Premises Asbestos, Health and Safety Leadership for Headteachers & Managers, Personal Safety.

Available spaces during period (split between myOracle Learn and Norfolk Services for Schools platform) – 744

- We have redeveloped all our core training packages to focus on the 'how' rather than legal requirements – in parallel and to ensure policy requirements and training mirror each other we have also reviewed all the associated compliance codes.
- Health and safety training relevant to individual roles is a mandatory requirement. We are currently unable to report on mandatory training completion via myOracle learn. However it is recommended that all managers review compliance with training completion with their teams, the forthcoming mid year performance review is an ideal opportunity to do this.
- Premise management courses, and the leadership course are primarily attended by our schools customers, with Personal Safety being driven by NCC services needs, along with key traded customers.
- Our HSW training provision meets the anticipated demand for NCC, and has provided the opportunity for 744 attendees during the period, we would ask NCC to ensure that this provision is utilised fully by managers ensuring training needs identified are met.
- The implementation of Oracle Learn resulted in a need to review and alter processes around learning management to ensure we could continue to offer courses to internal and external customers in an effective and efficient way.

Outcome 3: HSW have a successful, strategic approach to trading and cost recovery

Traded income:

£326,318

(broadly aligned
with last period

£326,897)

Education sector:

- 34 Academies
- 18 Trusts
- 20 federations
- 168 schools

Purchase at least 1
service

There is an indication towards a reduction in the number of educational establishments purchasing services and the total value of those services purchased is also reducing; it is possible that this is due to the reinvigoration of the academisation policy from central government and the pressure on school and academy budgets. We are expecting further sales in the remainder of the financial year of both annual and ad hoc services that should enable us to meet income targets. This includes income from other public sector partner organisations.

This income offsets the costs of service delivery to external clients and supports a resilient service to NCC. We continue to review our offer to ensure it is competitive and relevant. An example of service development is that we are now able to provide an e-learning offer for our traded customers that enables them to purchase individual e-learning packages and receive completion data.

Recommendations for Executive Directors:

- **Executive Directors are asked to :**
 - support NCC / HSW team by ensuring all other open incidents are reviewed by their managers in a timely and appropriate way
 - agree HSW should close all open incidents that predate 2021
 - continue to implement the recommended actions from their individual 2021/22 Annual reports and 6 month update.
 - ensure that mandatory training including Mental Health First Aid Champion (managers) and relevant Health and Safety training is prioritised and the training provision is fully utilised
 - promote the timely and appropriate use of the MIRS service within their teams
 - ensure that their managers are aware of the requirements relating to DSE for new starters and existing employees.
 - ensure that DSE assessments and related e-learning are completed
 - ensure the findings of the audit on DSE are actioned for their services
 - support the role and development of Well-being champions within their teams

Appendix 1 - Recommendations from Annual report 21-22:

The focus and priorities for Executive Directors are to ensure the approach to health, safety and wellbeing in their services reflect and supports new ways of working and supports employees through forthcoming change by:

- Supporting and encouraging line managers to develop their conversational practice skills and prioritise supporting team and individual wellbeing
- Utilising the data available in the employee survey, this report and other sources to better understand the areas for focus
- Focussing on the fundamentals such as training, risk assessments, incident investigations and DSE assessments

The focus and priorities for the Health, Safety and Wellbeing Service for the forthcoming year are to:

- Develop and deliver a communications and promotion plan that supports managers to understand and deliver the fundamentals of good health, safety and wellbeing management and demonstrate their commitment to it.
- Review and improve the tools, training and services available to managers to support them to improve take up of services that support good health, safety and wellbeing such as the employee training offer and wellbeing services
- Work with services to understand the health, safety and wellbeing data and focus resources on improving performance including understanding the underlying causes of increasing slip, trip and fall and violent incidents, mental health and musculoskeletal absence and reducing the number of long term open incidents in schools
- Continue to re-establish the health, safety and wellbeing core activity such as the monitoring programme following the suspension of services during the pandemic

Appendix 2 – The performance measures explained

Outcome 1: NCC has a positive health, safety and well-being culture:

The measures are designed to inform NCC whether accountability for health, safety and well-being is being taken at the right levels throughout the organisation and if there is good engagement with the organisation's employees and their representatives in health, safety and well-being matters.

The role of leaders and managers in health, safety and well-being matters is pivotal to ensuring systems and processes are in place, employees understand and feel that their health, safety and well-being is important and in employee compliance with those systems and processes.

Involving employees in health, safety and well-being matters is important to ensure they take ownership of their own and others health, safety and well-being. Workplaces that have a healthy, proactive relationship with unions are shown to have a lower incident rate, employees are more confident to raise concerns and risks are better controlled.

Whilst a lagging indicator, the measurement of the number, type and severity of incidents occurring can give an indication of how well risks are being managed and if learning is taking place, which is indicative of a positive culture.

The measures for outcome 1 therefore focus on incidents, leadership and employee involvement.

Appendix 2 – The performance measures explained

Outcome 2: The standard of HSW management ensures employees are at work, well and productive

The measures provided are designed to give an indication of how well NCC is managing its HSW risks. The measures focus on 3 key areas: risk management, well-being services utilisation and employee competency.

Monitoring of teams and premises is undertaken by the HSW service to evaluate compliance and risks. At each visit the team/premise is given a risk score based on a number of factors. This enables NCC to understand how well risks are being managed across the organisation and enables the HSW service to target their resources appropriately. The monitoring programme was suspended in 2020 in response to the COVID-19 pandemic, but has been restarted.

Following a visit to a team or premise the HSW team will provide a prioritised list of improvements needed. Where the risks are significant, or the visit has highlighted the management is falling significantly short of expectations a revisit will be made to follow up. The number of revisits needed give an indication of the severity of the issues found as well as whether managers are rectifying issues in a timely way.

The well-being measures included in this report are limited to the utilisation of well-being services that support employees directly. These are founded in our statutory obligations as well as reflecting best practice as outlined by government research e.g. The Farmer, Stevenson report, Thriving at Work. The well-being services form one part of the People Plan contributing to our workforce and OD priorities. The focus of the People Plan and priorities are to support a productive, engaged and motivated workforce through enabling an effective management/employee relationship. The full range of services and measures are not in scope of this report.

Employee learning and development not only supports their competency in their role but also engagement with the risk management process.

The measures for outcome 2 therefore focus on risk management, well-being and employee competency

Appendix 2 – The performance measures explained

Outcome 3: HSW have a successful, strategic approach to trading and cost recovery.

The aim of the HSW traded service is to offer complimentary services to those provided to internal customers on a traded basis. The service is targeted at areas that support NCCs wider responsibilities such as non-local authority maintained schools. Through growing its traded services, the HSW service has retained resilience in service provision to all its customers, internal and external. The measures developed to gauge our success relate to these aims.

Glossary

Reportable incidents (RIDDORs)

Employers are required to report certain serious workplace accidents, occupational diseases and dangerous occurrences to the Health and Safety Executive. These are defined in law and it is an offence not to report them within the specified time period. These include:

- **Fatalities**
Accidents that result in the death of an employee or non-employee that arise from a work-related accident
- **Specified injuries to employees**
Examples of specified injuries that are reportable include: injuries requiring hospital admission for more than 24 hours, fractures, amputations, serious burns, loss of sight, significant head injuries
- **Over 7-day injuries to employees**
Work related accidents that result in an employee being unable to undertake their normal duties for more than 7 consecutive days (including weekends)
- **Occupational Diseases to employees**
Examples of occupational diseases that are reportable where diagnosed by a medical practitioner are: carpal tunnel syndrome, occupational dermatitis, severe cramp of the hand or forearm, occupational cancer, tendonitis of the hand or forearm
- **Dangerous Occurrences**
These are serious incidents that may not have caused any injury but had the potential to do so. Examples include: the accidental release of a substance that could cause harm to health such as asbestos, fire caused by electrical short circuit that results in the stoppage of the plant involved for more than 24 hours, equipment coming into contact with overhead power lines
- **Injuries to non-workers**
Where a non-employee e.g. a member of the public, a pupil or a service user, has an accident on our premises and is taken to hospital from the scene for treatment

Non- Reportable (RIDDOR) Incidents

Incidents that result in injury that are not classed as reportable. These do not include any incident that did not result in an injury, e.g. near miss incidents, damage to property or dangerous occurrences.

Glossary

Musculoskeletal Injury Rehabilitation Scheme (MIRS)

MIRS is a fast-track physiotherapy treatment service that helps staff with a musculoskeletal injury (back pain, muscle strain, overuse injuries, frozen shoulder, whiplash, ligament damage, tendonitis, sciatica, etc.) in managing or reducing the impact of their injury on work. People who are referred to the service consistently report the treatment either helped them return to work earlier or prevented them taking sickness absence.

The service includes:

- An initial telephone assessment with a physiotherapist within 24 hours of being referred to establish the best course of treatment, and where required an initial treatment session is usually offered within 3 working days.
- An assessment report for the line manager outlining the problem and recommended treatment.
- A discharge report for the manager reiterating the information in the assessment report and providing an assessment of the outcome of any treatment given.
- Functional Capacity Evaluations for staff who report that their health conditions are limiting their capacity to undertake their duties.
- Workstation, workplace and vehicle assessments for staff who report that these are having an impact on their health condition.

Norfolk Support Line (NSL)

A well-established independent, confidential and professional advice and counselling service for employees; available 24 hours per day, 7 days a week, 365 days a year, on matters such as: money management, substance misuse, legal queries, phobias, consumer advice information, caring responsibilities, trauma, stress, bereavement, domestic matters, emotional problems, anxiety/depression. They also provide support to managers on difficult conversations and team trauma support

Cabinet

Item No: 12

Report Title: Risk Management

Date of Meeting: 11th January 2023

Responsible Cabinet Member: Cllr. Proctor (Leader and Cabinet Member for Strategy & Governance)

Responsible Director: Simon George, Executive Director of Finance and Commercial Services

Is this a Key Decision? No

If this is a Key Decision, date added to the Forward Plan of Key Decisions: Not applicable

Executive Summary / Introduction from Cabinet Member

Risk management contributes to achieving corporate objectives, the Council's key priorities and strategy Better Together, For Norfolk, and is a key part of the performance management framework. The responsibility for an adequate and effective risk management function rests with the Cabinet, supported by portfolio holders and delivered by the risk owners as part of the risk management framework.

Recommendations:

For Cabinet to consider and agree:

- 1. The key messages detailing key changes to corporate risks following the corporate risk register review (paragraphs 2.1 and 2.2 and Appendix A)**
- 2. The corporate risks as at January 2023 (Appendices B and C)**

1. Background and Purpose

- 1.1 With Cabinet's ownership of the corporate risk register, the purpose of this report is to set out the latest corporate risks for Cabinet to consider and agree following officer review of the Council's corporate level risks. **Appendix A** provides a summary of the proposed changes to corporate risks following this review, with the current corporate risk register scores visually summarised on the corporate risk heat map in **Appendix B**. Details of all risks on the corporate risk register are located in **Appendix C**.

The Audit Committee are responsible for monitoring the adequacy and effectiveness of the systems of risk management and internal control, as set out in its Terms of Reference, which is part of the Council's [Constitution](#). There are Risk Management controls in place within the Council as per the Financial Regulations of the Council's Constitution.

2. Proposal

- 2.1 The key general risk messages are as follows:

- That corporate risk management continues to be sound and effective, working to best practice, and continues to support the Council's strategic objectives.
- The review of corporate risks has taken place with risk owner's and reviewer's input.
- This risk management report should be read in conjunction with the performance and finance reports.

- 2.2 The key specific corporate risk messages are as follows:

Proposed escalated risks

RM037 – NFRS industrial action

RM038 – ASSD Recovery from the Covid-19 pandemic

RM039 – ASSD Financial, staffing & market stability impacts due to implementation of social care reform

RM040 – ASSD Assurance implementation

Proposed risk closure

RM023 - Changes to demography, funding, and government policy

The proposed key changes regarding risks RM038 – RM040 above reflect more closely the largest risks that are affecting the Adult Social Services department that have corporate significance for the wider council. These include the introduction of RM038, which sets out the risk of not having sufficient time and staffing resource in operational teams to focus on recovery actions, leading to the risk of harm to service users being unaddressed. RM039 sets out the financial, resourcing / staffing, and market stability risks associated with the implementation of social care reform, and RM040 reflects the implications of not meeting the desired rating of Good (or better) from a Care Quality Commission inspection.

Further information on the specific risk changes listed above in 2.2 can be found in **Appendices A and C**.

3. Impact of the Proposal

- 3.1 Risk management plays a key role in managing performance and is a requirement in the Accounts and Audit Regulations 2015 (amended 2020). Sound risk management helps ensure that objectives are fulfilled, that resources and assets are protected and used effectively and efficiently. The responsibilities for risk management are set out in the Financial Regulations, which are part of the Council's Constitution.
- 3.2 Details of the proposals above in 2.2. can be viewed in Appendix A, offering further rationale and impact of the proposals.

4. Evidence and Reasons for Decision

- 4.1 Not applicable as no decision is being made.

5. Alternative Options

- 5.1 There are no alternatives identified.

6. Financial Implications

- 6.1 There are financial implications to consider, which are set out within the risks at **Appendix C**. The budget for this financial year 2022-23 was set and agreed by Full Council in February 2022, following consultation. Mitigations supporting the controlled treatment of the risk of the potential failure to manage significant reductions in local and national income streams are set out in risk RM002, and risk RM035 covers the impact of rising inflation.

7. Resource Implications

- 7.1 **Staff:** There are staffing resource implications to consider as part of risk **RM029 - Critical skills required for the organisation to operate effectively**.
- 7.2 **Property:** There are no new property implications to consider.
- 7.3 **IT:** The Council's Information Management Technology team are continuing to closely monitor cyber security threat levels with the current geo-political situation in Ukraine, and continue to roll out the technology advances that are helping Members and officers to carry out their duties effectively from home as well as Council offices.

8. Other Implications

8.1 Legal Implications:

There are no current specific legal implications to consider within this report.

8.2 Human Rights Implications:

There are no specific human rights implications to consider within this report.

8.3 Equality Impact Assessment (EqIA) (this must be included):

None applicable.

8.4 Data Protection Impact Assessments (DPIA):

None applicable.

8.5 Health and Safety implications (where appropriate):

There are no new health and safety implications to consider.

8.6 Sustainability implications (where appropriate):

There are no specific sustainability implications to consider within this report other than to note the corporate risk RM036 covering the risk of not delivering

the key objectives of the NCC environmental policy, which incorporate sustainability.

8.7 Any Other Implications:

There are no other risk implications to consider within this report.

9. Risk Implications / Assessment

9.1 The corporate risk implications are set out in the report above, and within the risks themselves at **Appendix C**.

10. Select Committee Comments

10.1 There are no recent risk-based comments from the Select Committee to report.

11. Recommendations

For Cabinet to consider and agree;

1. The key messages detailing key changes to corporate risks following the corporate risk register review (paragraphs 2.1 and 2.2 and Appendix A)
2. The corporate risks as at January 2023 (Appendices B and C)

12. Background Papers

12.1 There are no background papers applicable.

Officer Contact

If you have any questions about matters contained within this paper, please get in touch with:

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If you need this report in large print, audio, braille, alternative format or in a different language please contact 0344 800 8020 or 0344 800 8011 (textphone) and we will do our best to help.

The explanation for the proposed key changes to corporate risks is as follows;

Proposed escalated risks

RM037 – NFRS industrial action

There is a proposal to escalate this risk given the likely industrial action by some Norfolk Fire and Rescue Service staff. The risk itself accounts for the mitigations and the planning work going ahead for any industrial action going ahead.

RM038 – ASSD Recovery from the Covid-19 pandemic

RM038 sets out the risk of not having sufficient time and staffing resource in operational teams to focus on recovery actions, leading to the risk of harm to service users being unaddressed, and notes the recovery plans in place for all places, with weekly monitoring of progress by the Recovery and Oversight Group.

RM039 – ASSD Financial, staffing & market stability impacts due to implementation of social care reform

RM039 considers the financial, staffing, and market sustainability impacts of implementing social care reform, and notes the modelling and impact analysis being carried out to understand what the exact impacts will be on Norfolk County Council.

RM040 – ASSD assurance implementation

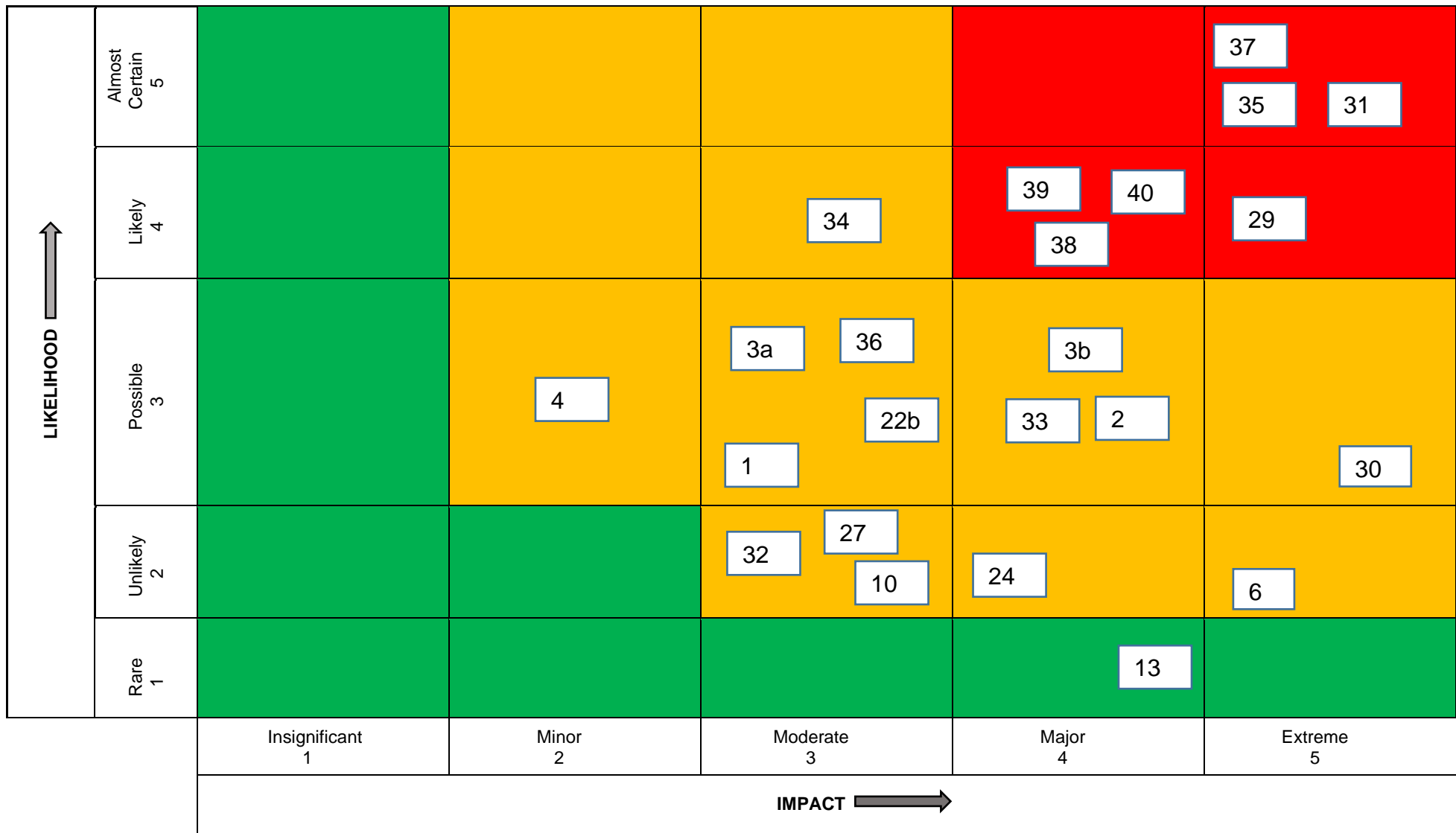
RM040 reflects the implications of potentially not meeting the desired rating of Good (or better) from a Care Quality Commission inspection, and notes the mitigating work of the Performance Improvement Group in place to drive quality improvements to ensure that this risk is reduced.

Proposed risk closure

RM023 - Changes to demography, funding, and government policy

The three proposed risks (RM038 – 40) for escalation to corporate level above are being put forward to replace risk RM023, as they better reflect the key current risks to the Adults Social Services department that are corporately significant.

Corporate Risks - Heat Map



Key = Risk score increase = no score change = risk score decrease

No.	Risk description	No.	Risk Description
RM001	Infrastructure funding requirements	RM032	Capacity to manage a large or multiple incidents or disruptions to business
RM002	Income streams	RM033	Norwich Western Link Project
RM003a	Information compliance requirements.	RM034	Supply Chain Interruption
RM003b	Information and cyber security requirements	RM035	Adverse impact of significant and abnormal levels of inflationary pressure on revenue and capital budgets
RM004	Contract management for commissioned services.	RM036	Environmental Policy
RM006	Service delivery	RM037	NFRS industrial action
RM010	Loss of key ICT systems	RM038	ASSD recovery from the Covid-19 pandemic
RM013	Governance protocols for entities controlled by the Council.	RM039	ASSD financial, staffing & market stability impacts due to implementation of social care reform
RM022b	EU Transition	RM040	ASSD assurance implementation
RM024	Great Yarmouth Third River Crossing (3RC)		
RM027	myOracle		
RM029	Critical skills required for the organisation to operate effectively		
RM030	Non-realisation of Children's Services Transformation change and expected benefits		
RM031	NCC Funded Children's Services Overspend		

Risk Number		RM001				Date of update		30 November 2022		
Risk Name		Infrastructure funding requirements								
Portfolio lead		Cllr. Graham Plant				Risk Owner		Tom McCabe		
Risk Description					Date entered on risk register			03 June 2019		
There is a risk of not realising infrastructure funding requirements to achieve the infrastructure ambition of the Business Plan. 1) Not securing sufficient funding to deliver all the required infrastructure for existing needs and planned growth leading to: • Congestion, delay and unreliable journey times on the transport network • A lack of the essential facilities that create attractive conditions for business activity and investment, and sustainable communities, including good connectivity, public transport, walking and cycling routes, open space and green infrastructure, and funding for the infrastructure necessary to enable the county council to perform its statutory responsibilities, eg education. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	3	3	9	3	2	6	Mar-23	Amber
Tasks to mitigate the risk										
1.1) Work with other county council officers and partners including government, local enterprise partnerships and district councils to compile evidence and the case for investment into infrastructure in order to achieve success through bidding rounds for capital investment. 1.2) Identify and secure funding including Pooled Business Rates (PBR) to develop projects to a point where successful bids can be made for funding through compiling evidence and cases for investment. 1.3) Engage with providers of national infrastructure – National Highways for strategic (trunk) roads and Network Rail for rail delivery – to ensure timely delivery of infrastructure projects, and work with partners on advocacy and lobbying with government to secure future investment into the networks. 1.4) Review Planning Obligations Standards annually to ensure the county council is able to seek and secure the maximum possible contribution from developers. 1.5) Continue to build the relationship with strategic partners including elected representatives, government departments, local enterprise partnerships, regional bodies such as Transport East (the Sub-National Transport Body) and other local authorities to maximise opportunity and work together in the most effective joined-up manner. 1.6) Periodically review timescales for S106, and other, funding contributions to ensure they are spent before the end date and take action as required. Periodic reviews for transport contributions and an annual review process for library and education contributions. 1.7) Manage risk RM033, Norwich Western Link.										
Progress update										

Progress update

1.1) Working with Transport East on strategic ambitions including on current projects and our intentions on developing future programmes. Government included NWL and LSB in list of projects to be accelerated in Growth Plan as part of 'mini-budget.'

NWL (See RM033): Outline Business Case (OBC) submitted to DfT for approval at end of June 2021. Awaiting funding confirmation.

Long Stratton Bypass: OBC approved by government July 2021. Revised planning applications from developers submitted. Issue of nutrient neutrality being considered.

West Winch Housing Access Road: Government progression to the next stage received 7 July 2022. DfT will make a contribution of £698,000 towards the costs of developing an OBC in line with our funding request.

A47/A17 Pullover Junction King's Lynn: Draft Strategic Outline Case received from WSP. Has been reviewed and progression to the next stage will now be the subject of member-decision making.

Working with partners: Continuing to work with districts and other partners on a range of infrastructure projects.

1.2) PBR funding secured for various projects including Norwich Western Link, West Winch Housing Access Road and A47/A17 Pullover Junction (see 1.1). Govt funding secured includes: £0.5m zero emission transport cities, £50m Bus Service Improvement Plan, further £1m via Active Travel Fund. County levelling-up bid for Southgates, King's Lynn submitted. Awaiting announcement.

1.3) Secretary of State granted Development Consent Orders for dualling A47 Blofield to Burlingham, N Tuddenham to Easton and Thickthorn.

A47 Alliance Task and Finish Group is developing a programme of advocacy in the run-up to RIS3 decision.

Discussing strategic ambitions with partner authorities on the Alliance.

Continuing to work with partners on Norwich to London rail, Ely Task Force and East West Rail Main Line Partnership. Working with Transport East on Transport East Rail Plan

Working with National Highways to deliver improvements at Harfreys Roundabout ahead of completing 3RC

1.4) Officers will continue to update annually the County Council's Planning Obligations Standards (2022) to ensure the council is able to seek and secure the maximum possible contribution from developers. The next update/review will begin later in the year and will need to take into account the recent significant increases in build costs associated with schools and libraries. The updated Standards will need to be agreed by members in early 2023.

1.5) Continuing to work with Transport East: Transport strategy endorsed by NCC Cabinet in November. Working with TE on additional workstreams initiated following three-year funding settlement from DfT. Liaising and attending various wider partnership groups including with DfT, Network Rail and National Highways on strategic road and rail schemes

1.6) Officers have introduced a new system of monitoring known as the Infrastructure Funding Statement (IFS) to comply with the 2010 Community Infrastructure Levy (CIL) Regulations (as amended in September 2019). This will ensure monitoring is effective, transparent and up to date. The County Council will publish its updated IFS later in the year (December) in line with the above CIL Regulations.

1.7) See risk RM033, Norwich Western Link.

Risk Number	RM002					Date of update		07 November 2022		
Risk Name	Income streams									
Portfolio lead	Cllr. Andrew Jamieson					Risk Owner		Simon George		
Risk Description					Date entered on risk register			31 May 2019		
There is a risk of failure to manage significant reductions to, or insufficient increases in, local and national income streams. This may arise from global or local economic circumstances (i.e. rising inflation), and/or government policy on public sector budgets and funding. As a result there is a risk that the Medium Term Financial Strategy savings required for 2022/23 - 2025/26 are not delivered because of uncertainty as to the scale of savings resulting in significant budget overspends, unsustainable drawing on reserves, and severe emergency savings measures needing to be taken. The financial implications are set out in the Council's Budget Book, available on the Council's website. Overall risk treatment:Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	3	4	12	2	4	8	Mar-23	Amber
Tasks to mitigate the risk										
Medium Term Financial Strategy and robust budget setting within available resources. No surprises through effective budget management for both revenue and capital. Budget owners accountable for managing within set resources. Determine and prioritise commissioning outcomes against available resources and delivery of value for money. Regular and robust monitoring and tracking of in-year budget savings by Executive Directors and members. Regular finance monitoring reports to Cabinet. Close monitoring of central government grant terms and conditions to ensure that these are met to receive grants. Plans to be adjusted accordingly once the most up to date data has been received.										
Progress update										
County Council on 21.02.22 approved the 2022-23 budget and future Medium Term Financial Strategy 2022-26 taking into account the Final Local Government Finance settlement for 2022-23. The council's external auditors gave an unqualified audit opinion on the 2020-21 Statement of Accounts and were satisfied that the County Council had put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ended 31.03.2021. The implications of the COVID-19 response, coupled with continued uncertainty and the further delay of the significant planned reforms for local government finance, represents a major challenge for the Council in developing its Medium term Financial Strategy. Cabinet on 04.04.2022 considered a strategic and financial planning report for 2023-24 and budget update reports on 04.07.22 and 03.10.22. Futher reports will be presented to Cabinet during the year incorporating Government funding announcements, when known, and upates on the budget planning process in order that the County Council can agree the 2023-24 Budget and level of council tax at its February 2023 meeting.										

Risk Number	RM003a					Date of update		02 November 2022		
Risk Name	Information compliance requirements									
Portfolio lead	Cllr. Andrew Proctor					Risk Owner		Andrew Stewart		
Risk Description					Date entered on risk register				05 June 2019	
There is a risk of failing to comply with statutory information compliance requirements (e.g. under GDPR, FOI, EIR) which could lead to reputational damage and financial impact from any fines or compensation sought, and operational inefficiencies within the organisation, and loss of cooperation with external partners (eg. NHS).										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	12	3	3	9	2	3	6	Mar-23	Green
Tasks to mitigate the risk										
1. Mandatory Information Governance Training for all colleagues, with ongoing awareness of IG responsibilities for colleagues. 2. Information Governance Group and Steering Group occur bi-monthly 3. Detailed management information in place to monitor performance 4. Two-way relationship with ICO maintained to ensure positive working relationship 5. Focus on resource available / required to ensure consistency of service 6. Ongoing improvements underway to improve IG operational efficiency and effectiveness. 7. Working closely with IMT to exploit the technical opportunities as described in RM003b.										
Progress update										
Mandatory training for Information Governance (Data Protection Essentials) has been live since January 2021 and will be required to have been completed by all colleagues by January 2023. Completion rate continues to meet the 95% target and a workbook is in place to match the online training for non-IT users. All NCC employees and anyone accessing NCC data receive IG training.										
Information Governance Group and the escalation Steering Group comprising the SIRO, DPO, Dir IMT, Audit and Caldicott Guardians continues to meet, occuring bi-monthly to deliver a strong focus and accountability on information related matters.										
Management information continues to be developed to allow actions to be taken on activity within the team and resource to be appropriately allocated / requested. Performance remains strong in Freedom of Information Requests and Police disclosures. Subject Access Requests (SARs) remain a concern and focus remains on these and the ICO remains in discussion with us about our SAR position. A team has been created to look exclusively at SARs ensuring consistency and efficiency and we have seen										

Progress update

a 15% reduction in active cases since inception. We continue to look for improvements to process where possible including working with IMT to deliver technology solutions to improve performance and reduce risk.

Positive relationship with the ICO in relation to data incidents and responses to subject access request complaints which helps demonstrate a good culture towards information in NCC.

In conjunction with IMT, the Electronic Storage Programme underway to reduce risk associated with unstructured information held on Fileshares with the first migrations complete. A schedule of migrations is now planned to move departments over to the new storage, with retention labels being a key addition.

These activities will enhance many of the mitigations to a higher standard, reducing the likelihood of occurrence - the impact should anything happen would likely result in local or national media attention, depending on the severity of the issue.

Risk Number		RM003b				Date of update		01 December 2022		
Risk Name		Information and cyber security requirements								
Portfolio lead		Cllr. Tom Fitzpatrick				Risk Owner		Geoff Connell		
Risk Description					Date entered on risk register			05 June 2019		
There is a risk of failure to comply with relevant information and cyber security requirements. This would incorporate failing to comply with relevant information security and cyber requirements (e.g. Public Sector Network Assurance, NHS Data Security and Protection Toolkit, and Payment Card Industry - Data Security Standards) which could lead to operational, financial and reputation impact. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	12	3	4	12	1	3	3	Mar-23	Green
Tasks to mitigate the risk										
1. Mandatory Training in place for all colleagues - ongoing 2. Development and monitoring for breaches - ongoing 3. Implementation of improved security measures - ongoing 4. External networking to ensure best practice - ongoing 5. Completing required accreditations - ongoing										
Progress update										
- Ongoing monitoring of compliance levels with mandatory training for all colleagues. - Implementation of improved security measures e.g. E5 Licencing - Involvement with National cybersecurity organisation - Extensive communications to NCC staff on remaining vigilant against cyber-attacks - Increased take up of RM003b!; - A simulated phishing exercise, carried out to understand where weaknesses remain; - Roll-out of Safe Links and Safe Attachments technology, which screens MS Office attachments and links before being opened; - Anti-spoofing technology software being introduced.										
Update 01/12/2022										
- PSN and other Public Sector cyber assurance will continue while new standards are developed. PSN recertification planned for Feb 2023. - Recent (June 2022) UK Government Accredited independent assessment of laptop configuration assessed that “the endpoints' security posture was found to be very strong.” - Microsoft 365 E5 “Defender for Endpoint” and “Defender for Identity” products deployed - Application for PCI:DSS Level 3 assessment booked for January 2023 - Zero Trust design for laptops being rolled out, over 15% of estate completed. - NHS DSP Toolkit application being prepared for 2022/23 Microsoft Insider Risk Management implementation planned Q1 2023 Ensuring all services up to date and security patched. Retired 222 out of date servers, 1 remains.										
Risk score of 12 at present due to a number of new threats from the geo-political landscape. The impact should anything happen could result in significant operational and financial impact as well as local or national media attention, depending on the severity of the issue.										

Risk Number	RM004					Date of update		30 November 2022		
Risk Name	Contract management for commissioned services.									
Portfolio lead	Cllr. Andrew Jamieson					Risk Owner		Simon George		
Risk Description					Date entered on risk register			02 June 2019		
There is a risk of failure to deliver effective and robust contract management for commissioned services. Ineffective contract management leads to wasted expenditure, poor quality, failure to achieve anticipated environmental or social benefits, unanticipated supplier default or contractual or legal disputes, and/or reputational damage to the Council. The council spends some £900m on contracted goods and services each year. Overall risk treatment: Tolerate										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	2	3	6	1	3	3	Mar-23	Green
Tasks to mitigate the risk										
<p>1) New governance arrangements: Stand up the Commissioning and Procurement Leadership Group to add senior rigour to contract and category management across ASS, CS and PH. Ensure similar rigour is ensured for other contracts (ie Non-Light Touch Regime/Provider Selection Regime) via working groups and DLTs. Stand up a Commercial Board for escalation and to endorse significant strategies</p> <p>2) New route for procurement pipeline - annual process with additional ad-hoc plans as they arise Approval from new Commercial Board Endorsement from Corporate Board Agreement from Cabinet</p> <p>3) Segment all contracts into Gold/Silver/Bronze according to a defined framework. Also agree where certain categories should be promoted to a higher segment than that for individual contract. Record this on contract register</p> <p>4) Agree minimum contract management requirements for each segment. Ensure these are monitored regularly at departmental DLTs</p> <p>5) Ensure that staff managing contracts participate in relevant contract management training</p> <p>6) Procure and implement a new contract management system to automate the current manual processes, and to provide a single repository of contract information which is accessible to all relevant stakeholders across both procurement and departmental commissioners/contract managers</p> <p>7) Review arrangements between commissioning departments and procurement - escalation, role boundaries, informal vs formal mechanisms</p>										
Progress update										

Progress update

- 1) Governance structure agreed by Head of Paid Service. Terms Of Reference, Membership, Meeting Frequency etc to be in place by January 2023.
- 2) To be agreed and implemented through the Governance groups described in (1) above
- 3) Contract segmentation framework nearly finalised. Individual contract segmentation recorded on contract register.
- 4) Next step is to liaise with departmental contract owners to ensure robust contract management, and reporting of such to senior department management teams.
- 5) Contract Management Pioneer Programme available for 10 free places in early 2023. NCC has been accepted onto the programme and is identifying the most appropriate delegates. Once complete (or maybe sooner) we will consider whether additional staff would benefit from the programme - we would need to pay for further places.
- 6) Project underway to agree requirements with procurement staff and commissioning staff from Adult Social Services, Children's Services, and Public Health.
- 7) Detailed RACI almost agreed between procurement and departmental commissioners. Work planned to link departmental and procurement contract processes (first meeting December 2022).

Risk Number	RM006					Date of update		02 December 2022		
Risk Name	Service Delivery									
Portfolio lead	Cllr. Andrew Proctor					Risk Owner		Tom McCabe		
Risk Description					Date entered on risk register			13 June 2019		
There is a potential risk of failure to deliver our services within the resources available for the period 2022/23 to the end of 2023/24. The failure to deliver agreed savings or to deliver our services within the resources available, factoring in causation such as rising inflation, resulting in the risk of legal challenge and overspends, requiring the need for in year spending decisions during the life of the plan, to the detriment of local communities and vulnerable service users. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	2	5	10	1	5	5	Mar-23	Green
Tasks to mitigate the risk										
<p>'1) Clear robust framework, ' Better Together, for Norfolk - Business Plan' in place which drives the delivery of the overall vision and priority outcomes. The delivery of a council-wide strategy which seeks to shift focus to early help and prevention, and to managing demand.</p> <p>2) Delivery against the strategic service and financial planning, by translating the vision and priorities into achieved, delivered targets.</p> <p>3) A robust annual process to provide evidence for Members to make decisions about spending priorities.</p> <p>4) Regular and robust in-year financial monitoring to track delivery of savings and manage in-year pressures.</p> <p>5) Sound engagement and consultation with stakeholders and the public around service delivery.</p> <p>6) A performance management and risk system which ensures resources are used to best effect, and that the Council delivers against its objectives and targets.</p>										
Progress update										
<p>Regular budget and performance monitoring reports to Cabinet has continued to demonstrate how the Council is delivering against the 2022/23 budgets and priorities set for each of our services. The Council has a robust and established process, including regular reporting to Members, which is closely linked to the wider Council Strategy, in order to support the development of future year budget plans taking account of the latest available information about government funding levels and other pressures. This process includes reviewing service budgets and taking into account financial performance and issues arising in the current financial year as detailed in the budget monitoring reports. There is financial monitoring of in-year cost, with monitoring of 2022-23 spend being reported to Cabinet on a monthly basis. There has been an updated MTFs position reported to Cabinet within the year, and there will be a budget setting meeting of Full Council in February 2023, and monitoring reports taken to Cabinet in 2023/24. Strategic Review underway to identify proposals to contribute to closing 2023-24 gap.</p>										

Risk Number		RM010				Date of update		01 December 2022		
Risk Name		Loss of key ICT systems								
Portfolio lead		Cllr. Tom Fitzpatrick				Risk Owner		Simon George		
Risk Description					Date entered on risk register			01 July 2019		
The risk of the loss of key ICT systems including: - Network connectivity; - Telephony; - Microsoft Office & all business systems. Loss of core / key ICT systems, communications or utilities for a significant period - as a result of a cyber attack, loss of power, physical failure, fire or flood,or supplier failure - would result in a failure to deliver IT based services leading to disruption to critical service delivery, a loss of reputation, and additional costs. Note that cyber security risks are elevated in 2022 due to global geopolitical issues (Cyber risk is detailed further in the service level risk register). Overall risk treatment: Treat.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	2	3	6	1	3	3	Mar-23	Green
Tasks to mitigate the risk										
Full power down completed periodically 3) Implement Cloud-based business systems with resilient links for key areas 4) Review and Implement suitable arrangements to protect against possible cyber / ransomware attacks including; 5) Running a number of Cyber Attack exercises with senior stakeholders to reduce the risk of taking the wrong action in the event of a cyber attack 6) We will hold a number of Business Continuity exercises to understand and reduce the impact of risk scenarios 7) WFH has changed the critical points of infrastructure. Access to cloud services like O365 without reliance on County Hall data centres is critical to ensure service continuity. 8) Keep all software security patched and up to date and supported. Actively and regularly review all software in use at NCC and retire all out of date software that presents a risk to keeping accredited to these standards. 9) Continue to closely monitor security processes.										
Progress update										

Progress update

- 1) Full power down completed as required by Property programme plans. A test of the generator has been planned for 10th December 2022 ahead of potential National Power Outages.
- 2) Local Area Network refresh successfully completed for all County Council Offices.
- 3) We Implement Cloud-based business systems with resilient links for key areas as they are procured, guidance is being refreshed regularly.
- 4) We have now completed the cyber audit actions and continue to progress through the Audit recommendations
- 6) Since COVID-19 has resulted in the majority of the workforce working from home, we continue to monitor the network to tweak and improve performance.
- 8) Infrastructure design is evolving to accommodate cloud services, further strengthen cyber security and reduce reliance on County Hall infrastructure. NCC dependencecy on Solaris has been almost completely removed with the introduction of MyOracle. Systems have been patched and kept up to date once a month throughout the year in line with Industry best practice.
- 9) The scope and frequency of security monitoring processes has been increased.
- 10) Future Network project has completed its procurement and awarded to Abzorb, this once implemented will reduce the complexity, improve security by introducing zero trust and improve resilience by removing the reliance on a traditional network. We are ensuring we do not increase the risk by dual running the networks together as the new network is delivered.
- 11) "Zero Trust" laptop design being rolled out, removing reliance on County Hall infrastructure for all cloud services including Oracle and Office 365, enabling staff to work from anywhere even if County Hall data centres are unavailable.

Risk Number	RM013					Date of update		02 December 2022		
Risk Name	Governance protocols for entities controlled by the Council.									
Portfolio lead	Cllr. Greg Peck					Risk Owner		Simon George		
Risk Description					Date entered on risk register			02 July 2019		
The potential risk of failure of the governance protocols for entities controlled by the Council, either their internal governance or the Council's governance as owner. The failure of entities controlled by the Council to follow relevant guidance or share the Council's ambitions. The failure of governance leading to controlled entities: Non Compliance with relevant laws (Companies, subsidy control procurement, environmental or other) Incurring Significant Losses or losing asset value Taking reputational damage from service failures Being mis-aligned with the goals of the Council The financial implications are described in the Council's Annual Statement of Accounts 2019-20. Overall risk treatment: Treat This risk is scored at a likelihood of 1 due to the strong governance in place and an impact score of 4 given the size of the controlled companies.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
1	4	4	1	4	4	1	4	4	Mar-23	Met
Tasks to mitigate the risk										
<p>1) All controlled entities and subsidiary companies have a system of governance which is the responsibility of their Board of Directors.</p> <p>The Council needs to ensure that it has given clear direction of it's policy, ambitions and expectations of the controlled entities.</p> <p>The NORSE Group objectives are for Business Growth and Diversification of business to spread risks. Risks need to be recorded on the Group's risk register.</p> <p>2) The shareholder committee should meet quarterly and monitor the performance of NORSE. A member of the shareholder board, the shareholder representative, should also attend the NORSE board.</p> <p>3) The Council holds control of the Group of Companies by way of its shareholding, restrictions in the NORSE articles of association and the voting rights of the Directors. The mission, vision and value statements of the individual NORSE companies should be reviewed regularly and included in the annual business plan approved by the Board. NORSE should have its own Memorandum and Articles of Association outlining its powers and procedures, as well as an overarching agreement with the Council which outlines the controls that the Council exercises over NORSE and the actions which require prior approval of the Council.</p> <p>4) To ensure that governance procedures are being discharged appropriately to Independence Matters. The Executive Director for Finance and Commercial Services' representative attends as shareholder representative for Independence Matters.</p> <p>5) Shareholder representation required from the Executive Director of Finance and Commercial Services on both the Norse, and Repton Boards.</p>										
Progress update										

Progress update

- 1) There are regular Board meetings, share holder meetings and reporting as required. For NORSE, risks are recorded on the NORSE group risk register.
- 2) The Norse Group follows the guidance issued by the Institute of Directors for Unlisted Companies where appropriate for a wholly owned LA company. The shareholder committee meets quarterly and monitors the performance of Norse. A member of the shareholder board, the shareholder representative, also attends the Norse board.
- 3) The Council has reviewed its framework of controls to ensure it is meeting its Teckal requirements in terms of governance and control. The Executive Director of Finance and Commercial Services is responsible for reviewing the ongoing viability of wholly owned entities and regularly reporting the performance of their activities, with a view to ensuring that the County Council's interests are being protected.
All County Council subsidiary limited company Directors have been approved in accordance with the Constitution.
- 4) The ED of F&CS directs external governance.
- 5) There is Shareholder representation from the Executive Director of Finance and Commercial Services on both the Norse, and Repton Boards.

Risk Number	RM022b					Date of update		01 November 2022		
Risk Name	EU Transition									
Portfolio lead	Cllr. Graham Plant					Risk Owner		Vince Muspratt		
Risk Description					Date entered on risk register			28 August 2020		
There are two parts to this risk as follows; a) external funding and b) Norfolk businesses a) Risk RM14429 covers the closedown of the France (Channel) England INTERREG programme, managed by NCC. In terms of future external funding, we need to make a compelling case to Government for investment in Norfolk from the UK Shared Prosperity Fund (UKSPF), which replaces EU funding. There is a risk of limited opportunity for future skills funding from the UKSPF that NCC needs to be able to achieve the objectives of the Norfolk Investment Framework. b) We need to understand the implications for Norfolk businesses of the Territorial Cooperation Agreement and work with partners to support Norfolk businesses to trade.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	3	3	9	2	3	6	Mar-23	Amber
Tasks to mitigate the risk										
a) Development of Norfolk Investment Framework to target the UK Shared Prosperity Fund (replacement for EU funding).										
b) Focussed support for business, in conjunction with LEP and Chamber of Commerce.										
Progress update										
a) The Levelling Up White Paper indicates that in the short-term SPF and LU funds will be delivered through Districts. Should a County Deal be agreed, this may change. There is a need to develop a County Deal in order to gain strategic control over key functions and funds, but also to work with districts to maximise strategic use of SPF. Feedback from Stakeholders confirms the need for a NIF. Approach endorsed by the Steering Committee (including Town Deal Board Chairs/Local Authorities/Business Reps/University & Research Institutes and Private Sector). The NIF will identify funding options for delivery from a range of options including SPF and LUF, other national funding pots as well as private sector investment. The NIF has now been developed for delivery themes, that consist of skills, public sector services, business development and climate change.										
b) There is growth in the economy, but rising inflation (forecast 7% by April) and rise of ‘cost of goods’ and energy pose a risk/ added pressure on businesses at present. Business advice provided by the LEP's Growth Hub, Norfolk Chamber and Federation of Small Business. While these bodies can provide advice, the challenge for businesses is to invest more resource in producing the paperwork that is now required for the import/export of goods, and still generate a profit. Government has introduced measures to help secure more HGV drivers (to replace those lost due to both Brexit and the pandemic) and increase the number of seasonal agricultural workers who can work in the UK. A key priority of the Norfolk Rural Strategy is to help increase the adoption of robotic solutions to increase productivity and help mitigate staffing challenges.										

Risk Number		RM024		Date of update		29 November 2022				
Risk Name		Great Yarmouth Third River Crossing (3RC)								
Portfolio lead		Cllr. Martin Wilby		Risk Owner		Tom McCabe				
Risk Description			Date entered on risk register			14 June 2019				
There is a risk of failure to construct and deliver the Great Yarmouth Third River Crossing (3RC) within agreed budget (£121m), and to agreed timescales (construction to be completed early 2023). There is a risk that the 3RC project will not be delivered within budget and to the agreed timescales. Cause: delays during statutory processes put timescales at risk and/or contractor prices increase project costs. Event: The 3RC is completed at a later date and/or greater cost than the agreed budget, placing additional pressure on the NCC contribution. Effect: Failure to construct and deliver the 3RC within budget would result in the shortfall having to be met from other sources. This would impact on other NCC programmes.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	2	4	8	2	3	6	May-23	Amber
Tasks to mitigate the risk										
The project was agreed by Full Council (December 2016) as a key priority infrastructure project to be delivered as soon as possible. Since then, March 2017, an outline business case has been submitted to DfT setting out project costs of £120m and a start of work in October 2020. 80% of this project cost has been confirmed by DfT, but this will be a fixed contribution with NCC taking any risk of increased costs. Mitigation measures are: 1) Project Board and associated governance to be further developed to ensure clear focus on monitoring cost and programme at monthly meetings. 2) NCC project team to include specialist cost and commercial resource (bought in to the project) to provide scrutiny throughout the scheme development and procurement processes. This will include independent audits and contract/legal advice on key contract risks as necessary. 3) Programme to be developed that shows sufficient details to enable overall timescales to be regularly monitored, challenged and corrected as necessary by the board. 4) Project controls and client team to be developed to ensure systems in place to deliver the project and to develop details to be prepared for any contractual issues to be robustly handled and monitored. 5) All opportunities to be explored through board meetings to reduce risk and programme duration. 6) An internal audit has been carried out to provide the Audit Committee and management with independent assurance that the controls in place, to mitigate, or minimise risks relating to pricing in stage 2 of the project to an acceptable level, are adequate and effective and operating in practice.										
Overall risk treatment: Reduce, with a focus on maintaining or reducing project costs and timescales										
Progress update										

Progress update

The outline business case was submitted on 30 March 2017, and DfT confirmed approval of this following the autumn statement in November 2017. Progress against actions are: 1) Project board in place. Gateway review highlighted a need to assess and amend board attendance and this has been implemented. A gateway review was completed to coincide with the award of contract decision making - the findings have been reported to the project board (there were no significant concerns identified that impact project delivery). Internal audit on governance report finalised 14 August 2019 and findings were rated green. Further gateway review completed summer 2020 ahead of progressing to next stage of contract (construction). 2) Specialist cost and commercial consultants appointed and continue to review project costs. The Commercial Manager will continue to assess the project forecast on a quarterly basis, with monthly interim reporting also provided to the board. No issues highlighted to date and budget remains sufficient. A further budget review was completed following appointment of the contractor. The full business case was developed and submitted to DfT at end of September 2020 - the project is still at agreed budget. 3) An overall project programme has been developed and is owned and managed by the dedicated project manager. Any issues are highlighted to the board as the project is delivered. The start of DCO examination was 24 September 2019 with a finish date on 24 March 2020. The approval of the DCO was confirmed on 24 September 2020 (no legal challenge). Construction started on 4 January 2021 as planned. The bridge completion and opening date remains early 2023. 4) Learning from the NDR the experience of commercial specialist support was utilised to develop contract details ahead of the formal commencement of the procurement process. Further work fed into the procurement processes (and competitive dialogue) with the bidders. The commercial team leads were in place from the start of the contract (January 2019) and continue in this role to manage contract administration. March 22 - Construction inflation is being closely monitored, but is not currently impacting the overall budget provisions. 5) The project board receives regular (monthly) updates on project risks, costs and timescales. A detailed cost review was delivered to the board ahead of the award of the contract (following the delegated authority agreed by Full Council), and took into account the contractors tender pricing and associated project risk updates. The project currently remains on budget and the programme to complete the works and open the scheme in mid 2023 is still on track. 6) The further internal audit has been concluded and a report circulated. Findings were green with only one minor observation (already actioned).

Risk Number	RM027					Date of update		30 November 2022		
Risk Name	myOracle									
Portfolio lead	Cllr. Tom FitzPatrick					Risk Owner		Simon George		
Risk Description					Date entered on risk register			30 August 2022		
There is a risk of failure of the new Human Resources and Finance system whereby key operational processes don't deliver the required outcomes for the organisation and its' traded services customers. Cause: System build, poor process for implementation, inadequate training for self service. Event: Operational processes not delivering to the processes required. Effect: Individuals impacted by temporary reduced pay, potential reduced employee satisfaction and potential risks to employee retention. New employees not being onboarded quickly enough. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	4	8	2	3	6	2	2	4	Mar-23	Green
Tasks to mitigate the risk										
1) Strong subject expert engagement in the system configuration to ensure that myOracle meets the needs of the organisation. 2) Ensure that plans / workarounds are in place to mitigate any residual risks from any issues arising. 3) Ensure that we have the resource in place to be able to deal with any issues as they arise.										
Progress update										
1) The implementation of myOracle is now live and any issues arising are being managed as a BAU exercise post mobilisation. 2) Support team and business teams focused on the identified system and process fixes required and plans/workarounds in place to mitigate those risks. 3) Team in place to rectify issues as they are reported.										

Risk Number	RM029		Date of update		21 November 2022					
Risk Name	Critical skills required for the organisation to operate effectively									
Portfolio lead	Cllr. Andrew Proctor			Risk Owner	Jane Naumkin					
Risk Description			Date entered on risk register		29 July 2019					
There is a risk that a range of critical new/future skills are not available within NCC in the medium to longer term. The lack of these skills will create problems for, or reduce the effectiveness of service delivery. An inability or failure to consider/identify these until they are needed will not allow sufficient time to develop or recruit these skills. This is exacerbated by: 1.The demographics of the workforce (ageing) 2.The need for changing skills and behaviours in order to implement new ways of working including specialist professional and technical skills (in particular IT, engineering, change & transformation; analytical; professional best practice etc) associated with the introduction or requirement to undertake new activities and operate or use new technology or systems - the lack of which reduces the effective operation of NCC . 3.NCC's new delivery model, including greater reliance on other employers/sectors to deliver services on our behalf 4.Significant changes in social trends and attitudes, such as the use of new technology and attitudes to the public sector, which may impact upon our 'employer brand' and therefore recruitment and retention 5.Skills shortages in key areas including social work and teaching 6.Improvements to the UK and local economy which may impact upon the Council's ability to recruit and retain staff. 7.Government policy (for example exit payment proposals) and changes to the Council's redundancy compensation policy, which could impact upon retention, particularly of those at more senior levels and/or older workers. 8. Brexit uncertainty impacting in some sectors 9. Uncertainty of covid impact which could increase pool of candidates and simultaneously increase current colleagues' possibilities for new jobs in other locations Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	4	5	20	2	5	10	Mar-24	Amber
Tasks to mitigate the risk										
<p>*Identification of what new critical skills are required in services – using workforce planning process and toolkit. As each directorate makes their changes to make savings / manage demand.</p> <p>*Identification of pathways to enable staff to learn, develop and qualify into shortage areas – As each directorate makes their changes to make savings / manage demand</p> <p>*Creation of career families and professional communities, providing visible and clear career paths for colleagues.</p> <p>*Embedding a strengths based approach to performance management e.g. Recruit for strengths not just qualifications and skills and experience</p> <p>*Explore further integration with other organisations to fill the gaps in our workforce - ongoing</p> <p>*Develop talent pipelines working with schools, colleges and universities</p> <p>*Undertake market rate exercises as appropriate and review the reward package to support attraction and retention</p> <p>*Explore / develop the use of apprenticeships and early career schemes; this will help grow talent and act as a retention tool</p> <p>*Work with 14 – 19 providers and Higher Education providers to ensure that the GCSE, A level and Degree subjects meets the needs of future workforce requirements</p> <p>*acceptance and implementation of new workforce strategy that will lead to improved workforce planning</p> <p>*develop our employer brand to improve attraction of people with the skills we need</p>										

Progress update

1. Working with education providers to ensure subjects meet future workforce requirements and students see a career in local government as an exciting option
2. Work has begun to make best use of the 'skills' facility in the new Oracle system. It will take time to understand how best to use the functionality but it is planned to help with finding people within NCC with skills not usually associated with their role, as well as providing easy reporting on professional registrations. This functionality is dependent on completion of career families work which will form part of the strategic review.
3. Work on how to use the full Talent module in Oracle will commence during 23/24
4. A digital skills survey has been made available to employees to support information and learning relating to their own particular digital skills competence. Mandatory training policy is live and has been socialised. A digital skills strategy approach is in development and dedicated resource will enable implementation.
5. NCC careers website design is underway.
6. There is an additional task relating to skills to identify the impact of COVID-19 on the availability of and demand for skills in NCC and Norfolk – this is beyond the remit of this risk but is related and therefore captured here.
7. Workforce strategy has been agreed. It identifies a number of themes that will support recruitment and retention of employees with the skills we need to be a successful organisation including refreshing our employer brand and development of clear career families
8. The strategic review will support NCC to understand how we can reshape the organisation, including our model of leadership and management and approach to role families
9. Where a need is identified specific recruitment and marketing campaigns are developed and socialised to support attraction to hard to fill roles e.g. 'We Care' campaign
10. Reward offer is reviewed regularly to identify additional areas that would support attraction and retention.

The target date has been moved to March 2024 to take account of the strategic review timescales and implementation.

Risk Number	RM030					Date of update		30 November 2022		
Risk Name	Non-realisation of Children’s Services Transformation change and expected benefits									
Portfolio lead	Cllr. John Fisher					Risk Owner		Sara Tough		
Risk Description					Date entered on risk register			08 August 2019		
There is a risk of the non-realisation of Children’s Services Transformation change and expected benefits, encompassing the risk that Children’s Services do not experience the expected benefits from the transformation programme. Outcomes for children and their families are not improved, need is not met earlier and the increasing demand for specialist support and intervention is not managed. Statutory duties will not be fully met and the financial position of the department will be unsustainable over time. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	20	3	5	15	1	5	5	Mar-23	Red
Tasks to mitigate the risk										
1) A demand management and prevention strategy and associated business cases have been completed and a multi-year transformation programme has been established covering social care and education, with 5 key strategic themes: Inclusion, Prevention and Early Intervention, Effective Practice Model, Edge of Care Support and Alternatives to Care, and Transforming the Care Market. 2) Significant investment has been provided to delivery transformation including c. £2m pa transformation investment fund since 2018-19 and £120m for capital investment in Specialist Resource Bases and Specialist Schools 3) A single senior transformation lead, operational business leads and a transformation team have been appointed / aligned to direct, oversee and manage the change 4) Regular governance structures in place through the Cabinet Member chaired Transformation and Benefits Realisation Board to track and monitor the trajectories of the programme benefits, risks and issues 5) Services from corporate departments are aligned to provide support to transformation change e.g. HR, Comms, IT, Finance, Information and Analytics, Innovation, etc 6) Interdependencies with other enabling transformation programmes e.g. Smarter Working will be aligned to help maximise realisation of benefits.										
Progress update										

Progress update

Scoring rationale - Risk impact relates to outcomes for children and families not being met, a key county council objective and financial loss of benefits over £3m therefore scored 5. Risk likelihood has reduced from "probable" prior to programme being initiated to "possible" as the transformation programme is seeing initial success after first 48 months of the programme, therefore scored 3.

- The investment in transformation has proved successful during the last 48 months having met existing targets for specific schemes albeit in the context of overall dept overspends
- Overall programme broke even in April 2021 rising to over £14m of cumulative net benefits by March 2022. Savings for 2022/23 are overall on target, where some projects and overachieved and others underachieved.
- Programme has helped to mitigate the cost pressures for 2021/22 that resulted due to the considerable financial pressures faced and ongoing uncertainties due to COVID-19. The projected programme savings of £6.5m for 2021/22 were exceeded, delivering £12.9m savings.
- Core indicator of number of Children in Care is broadly stable. Unit costs are under considerable pressure due to market forces, worsened by the impact of the pandemic, and changes to the profile of need including increasing pressure for placements for CYP with complex needs (particularly where there are also significant mental health needs). A number of existing transformation projects are in train to support these young people more effectively and reduce unit costs over the medium term.
- The next phase will focus primarily on prevention and early help – seeking to deliver a step change in our model and successfully bring together the system around special educational needs, early family help and emotional wellbeing.

Risk Number	RM031					Date of update		30 November 2022		
Risk Name	NCC Funded Children's Services Overspend									
Portfolio lead	Cllr. John Fisher					Risk Owner		Sara Tough		
Risk Description					Date entered on risk register		01 September 2019			
There is a risk that in-year pressures from service demand and other external factors beyond the department's control materialise and lead to a significant overspend.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
5	5	25	5	5	25	3	5	15	Mar-23	Red
Tasks to mitigate the risk										
Brought forward:										
1. Transformation programme in place that targets improvement to operating model, ways of working, and placement & sufficiency to ensure that intervention is happening at the right time, with the right children and families supported, with the right types of support, intervention & placements. This will result in improved value for money through ensuring that money is spent in the right places, at the right times with the investment in children and families resulting in lower, long-term costs.										
2. Improved monitoring system implemented to identify, track and respond to financial challenges.										
3. Cohorts will be regularly analysed to ensure that all are targeted appropriately and to develop new transformation initiatives to meet needs cost effectively.										
4. Ongoing recognition of underlying budget pressures within recent NCC budgets and within the MTFS, including for front-line placement and support costs (children looked after, children with disabilities and care leavers), operational staffing, and home to school transport for children with SEND.										
5. Recognition of pandemic-related additional budget pressures in-year and for future years, with actions identified to respond to these and to minimise cost pressures										
Feb 22										
MTFS set recognising underlying budget pressures identified from 21/22 forecast										
Mar 22										
Fortnightly business planning oversight meetings with the Lead Members for Children's Services and Finance and the Director of Financial and Commercial Services introduced										
Apr 22										
Targeted support provided to some HTST providers to minimise risk of contracts being returned due to significant rise in fuel costs due to Ukraine invasion										
May 22										
Review of 21-22 outturn to identify areas of key risks for close oversight by CSLT										
Dec 22										
Additional oversight system implemented by CSLT to scrutinise most high risk placements & support budget										
Progress update										

Progress update

Scoring rationale - Risk impact relates to financial impact of over £3m, therefore scored 5. Risk likelihood has increased from probable to "almost certain", due to department currently projecting an overspend outturn position for 2022/23 in relation to the pressures within social care placements, and home to school transport (particularly for those with special educational needs and disabilities as well as mainstream provision).

Brought forward:

- Improved monitoring systems have become embedded: CSLT finance sub-group, high cost reporting, LAC tracker, Permanency Planning Meetings, DCS Quarterly Performance meetings, regular "Time for Outstanding Outcomes" Meetings and Transformation and Benefits Realisation Board chaired by Cabinet Member CS and attended by Members and CSLT.
- Multiple Transformation projects been successfully delivered over the past 24 months that will contribute to the mitigation of this risk. This includes the transformation of the Corporate Parenting Services, including our Fostering Services. We have introduced new services to work with vulnerable adolescents including our Targeted Youth Support Services and the North Yorkshire "No Wrong Door model" which is called "New Roads" in Norfolk This is a proven model at working with adolescents differently improving outcomes and reducing costs. Financial benefits associated with New Roads programme are a key mitigation for this risk. We have established a significant programme to support children with disabilities and their families and, with partners, are redesigning our prevention and early help model to help meet the needs of families before they reach a threshold for statutory services. This includes rolling out the Family Hub model in Norfolk.
- Children Looked After numbers have reduced significantly since January 2019, which has resulted in reduced overall placement costs. Where unit costs are under considerable pressure due to external market forces, there are a number of existing transformation projects in train to support these young people more effectively and reduce unit costs over the medium term.

Oct 22

- CSLT agreed the need to increase the scrutiny of individual high cost placement / support forecasts in light of the forecast
- CLST recognised that new regulations relating to unregulated and unregistered provision would increase the likelihood of this risk occurring in future

Dec 22

- There are a wide range of factors that have impacted on the budget position. These include: unit costs are increasing significantly due to the cohort with the very highest and most complex needs continuing to grow as a proportion of all children looked after. The pandemic continues to have a substantial impact e.g. delays in the court system and the impact of hidden harm on CYP. Examples of other factors are; lack of supply of placements, worsening of emotional wellbeing and mental health amongst children, young people and parents, impact of inflation on families and services such as transport, ongoing shortages of staff in key professional specialisms.
- Currently the number of children in care is stable, the exception to this is the number of unaccompanied children has jumped over 50% in the past 2-3 months, which will impact on the overall sufficiency position.
- CSLT agreed development of 3-5 year financial plan for Cabinet to consider.

Risk Number	RM032		Date of update		24/11/2022					
Risk Name	Capacity to manage a large or multiple incidents or disruptions to business									
Portfolio lead	Cllr. Andrew Proctor			Risk Owner	Sarah Rhoden					
Risk Description			Date entered on risk register		29 October 2021					
NCC is affected by an internal or external iNCC is affected by an internal or external incident/emergency that impacts on the authority’s ability to deliver critical services. This could be internal threats such as loss of IMT or power or external impacts such as supporting the countywide response to Norfolk’s Highest risk such as Coastal flooding or pandemic flu. There is a risk of a large scale incident or series of incidents that cause potential negative impacts on the reputation, resources or financial stability, that affect NCC's ability to deliver it services. As of October 22 there are a number of ongoing situations which are compounding this risk. 1. Unprecedented numbers of Avian Influenza cases in Norfolk putting significant pressure on Trading Standards. 2. Energy providers issue of reasonable worst case scenario for power national power outages. 3. We are also moving into the season where will be see more severe weather acitivity, particulary the risk of low temperatures which compounds point 2 above. 4. Risk of Industrial action. Fire service are currently under consultation on pay offer. Risk of industrial action in other sectors eg. ambulance service / NHS will add additional pressure to social care services. 5. Cost of living crisis is affecting people and businesses across Norfolk. Risk to our staff, service users and wider community. 6. Covid-19 - as yet the impacts of Covid this coming winter season have not been determined, but there is potential to disrupt staffing and put additional pressures on front line services, including the ability to respond to incidents. 7. ICS and social care winter pressures										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	4	16	3	3	9	3	2	6	Aug-23	Amber
Tasks to mitigate the risk										
1) Maintain the Corporate Resilience Plan. 2) Maintain a robust Business Continuity process, including training and exercising. 3) Having the appropriate groups in place to be able to support and manage any response to an incident causing business disruption. 4) Supporting and embedding of Business Continuity looking at best practice to support the operational delivery of services. 5) Further training planning for both BC and Emergency Planning. 6) Active engagement and participation in the Norfolk Resilience Forum. 7) On going review of winter risks 8) Member of the NRF and attancance at weekly Norfolk Risk Inte lligance Group (RIG)meetings 9) NRF Plans and procedures in place, including training and exercising										
Progress update										

Progress update

The BC process and emergency response mechanisms are in place and enabled within NCC, support is in place from the Resilience team who deliver 24/7 response support.

Current BC stats = 84% of NCC plans reviewed and 82% plans have been exercised

Director Ops is stood up and currently meeting fortnightly to monitor on going issues. On call silver and Gold rotas in in place.

To help ensure we meet our duties under the Civil Contingencies Act, and to remain as prepared as possible for the winter period and beyond, the Norfolk Resilience Forum (NRF) has in place weekly Risk Intelligence Group (RIG) meetings. This is where emergency planning professionals from across the NRF partnership come together to review the potential risks that the county faces in the short term (next 7 days), medium term (7 days to 2 months) and longer term (beyond 2 months). This process creates an assessment picture that considers the potential impacts, aims to recommend and support mitigations, and, if required, stand up response structures that look to reduce the impacts as far as possible for Norfolk. The Resilience team attend this weekly Norfolk Resilience Forum (NRF) Risk Information Group (RIG) meeting to enable situation awareness and horizon scanning to support and manage all the major risks within the County.

The purpose of the RIG meetings is to create a Common Operating Picture risk assessment, which then feeds into the individual partner's strategic and tactical management meetings that help to shape the Norfolk wide preparedness and strategy. The NRF also undertakes specific monthly risk assessment meetings to look at the risks to Norfolk on a rolling basis, to ensure that we are current with our risk profile and planning. In addition, the NRF is also fully engaged at a regional and national level with the Department of Levelling Up Communities and Housing around winter assurance and preparedness for winter.

Due to global and national uncertainty, pre-emptive planning is on going to look at the risks that NCC and Norfolk will face this winter, these will include:

Winter weather - snow/Ice storms and flooding. Health issues- pressure in care systems, Season Flu, outbreaks, re-emergence of COVID, Hospital roof collapse and care home failure. Cost of living impacts. Disruption to power or communications systems. Industrial Action. Animal Health outbreaks. Cyber attacks. A briefing document has been created for the Director Ops group to look at the requirements and for any additional mitigation actions, which was reviewed on 28th Sep by Director Ops. Board. In addition we are working with Government departments at DLUHC to ensure we have the latest national steer for winter preparedness.

NRF power outage exercise (Exercise Lemur) took place on 18th October. FloodEx National flood exercise took place w/c 14th November. Director Op's have set up a Winter preparedness working group and are building a project plan to join up the approach to winter planning. This has created 10 workstreams to ensure that all services are fully informed and as well prepared as possible. Director Ops will maintain oversight of this work. In addition NCC are also feeding into the wider Norfolk winter planning within the NRF multi-agency partnership.

Risk Number	RM033		Date of update		29 November 2022					
Risk Name	Norwich Western Link Project									
Portfolio lead	Cllr. Martin Wilby		Risk Owner		Tom McCabe					
Risk Description			Date entered on risk register		27 July 2021					
There is a risk that the NWL project could fail to receive funding approvals from the Department for Transport (DfT), and/or statutory approvals necessary within the necessary timescales to achieve the Orders to construct the project (related to planning consent, land acquisition, highway orders) to enable the Norwich Western Link (NWL) project (at £251m) to be delivered to the agreed timescales (target opening by late 2025). Cause: Objection to the project (particularly related to environmental impacts) that results in either DfT or Secretary of State failing to provide the necessary approvals for the funding/Orders. Event: The scale of the project and the funding requirement from DfT (at 85%) is such that without their funding contribution, it will not be possible to deliver the project. Without the necessary Orders in place, it will not be possible to deliver the project. Effect: The benefits that the project would bring in terms of traffic relief, accommodating growth in housing and employment, economic recovery and journey time savings would not be achieved. If ultimately the project does not get constructed there is the possibility that any funding already provided by DfT would need to be repaid and that the capital expenditure up to that stage could need to be repaid from revenue funds (as there would be no capital asset to justify the use of capital funding).										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	3	4	12	1	4	4	Sep-24	Amber
Tasks to mitigate the risk										
1. Work closely with DfT to resolve any queries related to the OBC approval. 2. Ensure programme dates for statutory approvals are achieved and submission details are legally checked. 3. Develop strong team resource to ensure well developed submissions for statutory processes (including public inquiry) are provided. 4. Provide regular updates to the project board to ensure any issues related to programme, cost and risk are reported. 5. Monitor scale of expenditure prior to SoS approval to ensure any potential financial implications can be accommodated within the NCC financial envelope.										
Progress update										

Progress update

1. OBC submitted to DfT for approval at end of June 2021. Awaiting funding confirmation, but timescale to be confirmed. July 2022 - Report approved by Cabinet (includes revised timescales and budget - 85% DfT contribution retained in OBC addendum submitted to DfT (approval ongoing)). 2. Programme being reviewed to ensure realistic timescales for pre-planning application consultation and planning submissions are in place (to be agreed by the project board). July 2022 - Timescales updated in Cabinet report and agreed. Sept 22 - Govt mini-budget on 23rd Sept set out fast-tracking of projects, including NWL. Details awaited to understand any implications. 3. Resource review in progress to ensure the team structure is suited to the next phases of the project. July 2022 - Team structure in place with some gaps in resource being resolved, but very challenging employment market conditions. Sept 22 - maintaining resources on project is proving challenging. Ongoing recruitment and discussions with WSP. 4. Project board meetings in place and risk, programme, cost regularly reported. July 2022 - All details updated in Cabinet report and cost, risk and programme will be monitored by Board based on Cabinet report. Sept 2022 – Board closely monitoring budget including inflation/economic implications. 5. Section 151 officer updated on expenditure to date at project board and is comfortable that any potential cost/budget implications could be accommodated within the NCC financial envelope. July 2022 - Details in Cabinet report agreed with s151 officer and budget recommendation and implications accepted by Cabinet and Full Council on 19 July.

Risk Number	RM034		Date of update		02 December 2022					
Risk Name	Supply Chain Interruption									
Portfolio lead	Cllr. Andrew Proctor			Risk Owner	Simon George					
Risk Description				Date entered on risk register	09 November 2021					
There is a risk of a supply chain interruption, which could affect any of the Council's supply chains. This could take the form of either a sudden or gradual interruption, affecting the ability to deliver one or more services effectively. Cause: Examples of sudden interruptions include; loss of power; loss of supplies due to panic-buying (fuel being the prime example with knock-on effects); supplier insolvency; inability to replace critical components. Examples of gradual interruptions include; a gradual inability to recruit key in-demand staff (e.g. drivers & care workers); a gradual material shortage (e.g. construction materials); inflation; industrial action; staff absence owing to Covid-19 / seasonal flu, gradually contracting labour markets. Event: The materialisation of a sudden or a gradual interruption or degradation of a NCC supply chain. Effect: Different causes will generate different effects, but the common effect would be a disruption to service delivery stemming from the interruption of the supply chain involved. This could have knock on effects to other services depending on the interconnectedness / scale of the supply chain.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	4	16	4	3	12	3	2	6	Mar-23	Amber
Tasks to mitigate the risk										
For loss of power: 1) Understanding power resilience of County Hall 2) Understanding failover if we lost County Hall power 3) Reviewing plans for simultaneous loss of power or gas to multiple sensitive sites, e.g. care homes. 4) Thinking through command and control in case of widespread power loss For fuel: 5) Sending out a de-brief form to all involved in the fuel disruption (NCC) and the Resilience team will collate the returns. This will inform changes to the NCC approach and potentially update the Corporate plan. Our work will feed into the wider NRF de-brief to the NRF plan. For food: 6) Consideration of academies and our role with free school meals. 7) Maintain good relationships with key suppliers. For supplier insolvency: 8) Formalising tiering of contracts For critical spares: 9) Work with providers to ensure there is adequate support to just in time (JIT) deliveries (contingency stock of critical spares). For IT: 10) Ensure IT refresh is considered and appropriate stock pre-ordered. General mitigations against sudden major disruptions include: Early warning and trigger points Supply diversity Supplier relationships Public sector resource pooling Effective plans										
Progress update										

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Progress update

For loss of power:

- 1) Power resilience understood.
- 2) Resilience of Disaster Recovery site understood.
- 3) This is being looked at via normal BAU winter preparedness. Resilience Reps and DMT's are supported by the Resilience Team to review BC plans.
- 4) Command and control will follow existing processes. Any issues to be reported by department and escalated to appropriate response level (Silver/Gold) to manage the NCC response. If beyond NCC the NRF will be activated to respond.

For fuel:

- 5) Resilience Team have sent out a de-brief form to all involved in the fuel disruption (NCC) and has collated the returns. We have collated learning and now the Resilience Team are looking at the delivery of an operational plan to help deliver fuel to critical services if required and have created a BC exercise for services to work through their fuel issues and supply needs.

For food:

- 6) Work to be carried out with providers to ensure they think about support to just-in-time deliveries (contingency stock of basics).
- 7) Close communication and good relations being upheld with key suppliers of food.

For supplier insolvency:

- 8) Tiering of contracts being formalised.

For critical spares:

- 9) Ongoing work with providers to ensure adequate support is available for JIT deliveries.

For IT:

- 10) Laptops for next round of IT refresh pre-ordered and in supplier's warehouse.

Further detail of the wider resilience work being undertaken to help prevent supply chain interruption can be seen in risk RM032.

Risk Number	RM035					Date of update		02 December 2022		
Risk Name	Adverse impact of significant and abnormal levels of inflationary pressure on revenue and capital budgets									
Portfolio lead	Cllr. Jamieson					Risk Owner		Simon George		
Risk Description						Date entered on risk register		26 August 2022		
There is a risk that significant and abnormal levels of inflationary pressure persist for an extended period of time with a negative impact on both the Council's revenue budget and capital programme. Unusually high levels of inflation across various sectors are being experienced, driven by a number of economic and other factors which are entirely outside the council's control. Forecasts are increasingly suggesting that this situation is likely to persist for a protracted period. There is a risk that this level of inflation will have very significant impacts across several areas of the council including: - Increasing demand for a range of support and services including hardship funds as the cost of living and inflationary pressures impact on wider society. - Direct impact of inflationary pressures on revenue pay budgets - pay awards for 2022-23 and 2023-24 in excess of the level which has been assumed in the budget / MTFS. - Direct impact of inflationary pressures on non-pay revenue budgets including energy and fuel costs. - Direct impact of inflationary pressures on the Capital Programme including the cost of construction for various schemes. This is significantly reducing the Council's purchasing power and creating significant challenges for programme management and scheme delivery. Risk Treatment: Tolerate (overall levels of inflation are outside of the Council's control), but treating the aspects that the Council is in a position to control.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
5	5	25	5	5	25	5	3	15	May-23	Green
Tasks to mitigate the risk										
1) Close budgetary control 2022-23 - Monitoring budgets and emerging pressures during the financial year, reviewing activity levels and pressures in order to mitigate and minimise these as far as possible as part of regular budget monitoring and management processes. Where pressures cannot be avoided / mitigated, identifying alternative off-setting savings and / or funding (such as from business risk reserves) to deliver a balanced budget position for 2022-23.										
2) Setting 2023-24 Budget - Developing the 2023-24 Budget to provide as far as possible for known and unavoidable cost pressures, and identifying further income or off-setting savings initiatives to ensure that a robust and achievable Budget can be considered by Full Council in February 2023.										
3) Reviewing capital programme - Review of cost estimates, forecasts and profiling of major projects. The Council will monitor this risk and review the potential pressures on the capital programme and proactively manage the schemes, deferring some schemes where possible to minimise the impact of inflation and continue to deliver the capital programme within the budget available. The impact of cost pressures on the capital programme forecast will be picked up as part of the regular capital monitoring process and as part of setting the 2023-24 Capital Programme.										
4) Articulating the financial challenges faced by the Council to Government and other stakeholders - The Council's work to ensure that sufficient funding allocations are provided / available will include responses to Government consultations, funding announcements, discussions about the 2022-23 pay award, and other engagement.										

Progress update

- 1) Budget monitoring and reporting of variances, risks and mitigations to Cabinet is underway in respect of 2022-23.
- 2) Budget process underway for 2023-24 including identification of saving proposals for consideration by Cabinet in October 2022. Further savings required to close forecast budget gap and work underway to identify and validate cost pressures. Strategic Review underway to identify proposals to contribute to closing 2023-24 gap.
- 3) Monitoring of Capital Programme underway in respect of 2022-23 and reported to Cabinet. Review of capital programme profiling and development of new schemes for 2023-24 programme underway.
- 4) Ongoing engagement including formal consultation responses and ad-hoc opportunities.

Risk Number	RM036					Date of update		30 November 2022		
Risk Name	Environmental Policy									
Portfolio lead	Cllr. Eric Vardy, Cllr. Andrew Jamieson, and Cllr. Greg Peck					Risk Owner		Steve Miller		
Risk Description					Date entered on risk register			26 August 2022		
There is a risk of not delivering the key objectives of the NCC environmental policy. This could stem from not achieving the key objectives within our control to deliver. These include; achieving Net Zero Across the County Council Estate by 2030, working in partnership across the County, especially through the Norfolk Climate Change Partnership on the delivery of; the Climate Action Plan, major environmental infrastructure projects; sustainable travel projects; the 1 Million Trees for Norfolk project; the Pollinator Action Plan as well as continued roll out of LED streetlighting upgrades and implementation of the EV strategy. Event: Non-delivery of the key objectives. Effect: This could lead to greater potential for increased damage to the local and global environment. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	4	16	3	3	9	2	2	4	Mar-25	Green
Tasks to mitigate the risk										
1) Achieve Net Zero across NCC Estates by 2030. 2) Develop and deliver Climate Action Plan through Norfolk Climate Change Partnership. 3) Delivery of major environmental infrastructure projects for example Wendling Beck. 4) Delivery of all of the major transport infrastructure projects including ZEBRA. 5) Delivery of the 1 Million Trees for Norfolk project. 6) Delivery of the Pollinator Action Plan. 7) Rollout of 15k LED lights by the end of 2023 8) Rollout of electric vehicles										
Progress update										
Regular reporting cycles are already established for each of the key objectives. 1) Digital dashboard established and strong delivery against scope 1 and 2 emission targets. 2) Development work ongoing with Norfolk Climate Change Partnership. A number of strategic workshops are taking place in the third quarter of 22/23 which will inform the direction and content of the climate action plan. 3) Strong progress to date with all key environmental infrastructure projects on schedule. 4) Sustainable transport projects progressing well and major investment in ZEBRA scheme and cycling and walking programmes secure. 5) Delivery of 1 Million Trees project progressing positively with plan in place to accelerate planting plan following Covid-19 impact on planting programme. 6) Pollinator Action Plan approved by Cabinet and being delivered - no major issues to report. 7) We have currently replaced 3.7k lights. 8) We are currently developing metrics for the fleet of NCC electric vehicles.										

Risk Number	RM037					Date of update		02 December 2022		
Risk Name	NFRS Industrial Action									
Portfolio lead	Cllr. Margaret Dewsbury					Risk Owner		Ceri Sumner		
Risk Description					Date entered on risk register			06 December 2022		
There is the potential for periods of Industrial Action of Fire and Rescue staff owing to inability to agree national pay deal. There is a risk of failure to deliver statutory/regulatory services (provision of fire cover) as a result of potential strike action.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
5	5	25	5	5	25	5	1	5	Feb-23	Green
Tasks to mitigate the risk										
Planning of contingency arrangements commenced. Fortnightly meetings scheduled. We have already set up a working group which is continually reviewing, monitoring and scenario planning for business continuity. We are: monitoring and have agreed 13/16 arrangements with neighbouring FRS's, liaising with NFCC, with NFCC NR IA planning and with regional colleagues, reviewing our degradation plan, considering provision of other statutory duties (protection responsibilities, use of green-book staff), also considered engagement with partners and public(preparing expectations on delivery of services during any periods of IA).										
Progress update										
Initial planning meetings commenced . Control room plan commenced: to include possible numbers, tasks, resilience, risks. Early comms to all staff to engage and attempt to ascertain numbers likely to work and numbers likely to not work during any periods of union action. Periodic information being submitted to Home Office (return required estimating likely resources impacted). Resource identified in HR to support IA and payroll processes being reviewed. Predicting first strike date to be the beginnning of February 2023.										

Risk Number	RM038					Date of update		08 November 2022		
Risk Name	ASSD Recovery from the Covid-19 Pandemic									
Portfolio lead	Councillor Bill Borrett					Risk Owner		Laura Clear		
Risk Description					Date entered on risk register			06 December 2022		
If there is insufficient time and staffing resource in operational teams to focus on recovery actions, then the risk of harm to service users will be unaddressed with the associated adverse impact to staff wellbeing & retention, increased complaints & LGSCO findings; and reputational challenge from Members/the Council and from the public.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	4	16	4	4	16	4	2	8	Mar-23	Amber
Tasks to mitigate the risk										
<ul style="list-style-type: none">- Whole department approach to supporting recovery plans/actions- Dedicated leadership in place- Staff involvement in development of plans- SAFE event planned										
6.7.22 Newton Europe to support: Identifying operational initiatives that can be deployed to reduce the holding lists. Having a consistent approach to managing risk within holding lists. Conducting a risk assessment of cases currently on the holding list. Quantifying the operational impact of the upcoming changes in Adults Social Care (recovery & social care reform). Developing a plan, milestones and KPIs that can be rolled out to target both the holding list and increased demand due to care reforms (this will include resourcing considerations).										
15.7.22 Clear governance with backlogs position reported to DLT via recovery and oversight group. Recovery monitoring through finance and accountability meetings.peripatetic assessment team focussing on holding list reduction. Duty teams responding to urgent and crisis needs.										
8.11.22 All Places have recovery plans in place - weekly monitoring in place.										
Progress update										

Progress update

06.06.22 Reviewed at ODs and HOICs all agreed risk remained.

15.07.22 DLT lead for Recovery identified SAFE event held and learning shared (Holding list backlog) Detailed analysis of holding list (trajectories & improvement levers) New governance approach via Recovery Working Group and Locality Accountability meetings being established. Recovery action plan in place.

01.08.22

DLT agreed consistent approach to risk stratification of holding lists to be implemented by end of August 2022. NIPE and Business Support offer to assist local teams to implement. SCCE backlog proposal for consideration by DLT on 28/07/22 including additional reward to reduce SCCE backlog/holding list Newton Europe recovery plan to be presented to DLT on 4/8/22 with priority work packages & owners, trajectories and resource requirements identified Assurance inspection undertaken from 27th - 29th July including focus on backlogs by inspectors - initial learning outcome shared on 29/7/22 Kate Gooding supporting to devise a communication strategy covering recovery, transformation and reform.

02.09.22

Newton Europe recovery plan handed over and work under way to translate this into a Norfolk project plan and resource requirement Draft resource requirement outlined and initial conversations with DLT

taking place to confirm risk stratification implementation underway with end date of 31st October - slow start due to summer annual leave and operational pressures No significant impact on work backlogs except in SCCE due to beat the backlog event which may have had an adverse impact on localities.

05.10.22 All places developing connecting communities/recovery plans. to be reviewed at ODs meeting Oct 10th.

22.10.22 Recovery planning now integral to Connecting Communities E4SC workstream and owned by Place Ops Directors Single Locality E4SC plans developed for next 6 months Governance clear – weekly learning cycle meetings with Ops Directors feeding into weekly agenda item at DLT (DASS oversight) Metrics agreed; reporting source being clarified Risk stratification completed for around 60% of current holding lists Outstanding guidance on OT and PfAL risk stratification approach Short Term Beds team backlog recovery plan agreed and active through learning cycle meetings and IOD forums Wider recovery actions (assistive technology, sensory support) governance needs further consideration and clarity £500k available to increase CCRT staffing to address outstanding reviews.

08.11.22 dependency on risk RM 14503 social care reform.

Weekly oversight of locality plans and progress embedded.

Risk Number	RM039		Date of update		17 November 2022					
Risk Name	ASSD financial, staffing & market stability impacts due to implementation of social care reform									
Portfolio lead	Councillor Bill Borrett			Risk Owner	Debbie Bartlett					
Risk Description			Date entered on risk register		06 December 2022					
<p>Financial Risk There is a risk that the Government will not provide sufficient funding to support the implementation of Social Care Reform and that we (NCC) will not have any monies to fill any shortfalls or additional costs. There is a risk that the Government has hugely underestimated the cost to implement Social Care Reform and therefore there will be a shortfall in funding to Local Authorities. Added to this, NCC does not have any additional monies to fill any shortfall from the Government or any other additional costs (related to additional cases, more service users that require more input into costs, support & maintenance for Care Accounts etc) associated with the Social Care Reform implementation. Resourcing/Staffing Risk There is a risk that there will be insufficient resources both internally and to recruit externally to meet the new demands of the social care reform. we will not have sufficient resources (SW, Finance and Brokerage) to process the increased care act and eligibility checks as more self funders request LA to purchase care on their behalf or reach the £86,000 cap. In addition we may not be able to recruit the necessary additional staff externally due to lack of social workers both regionally and nationally. We are struggling to recruit for vacancies we have now. Market Stability Risk There is a risk that there will be insufficient capacity in the market to meet the new demands of the social care reform. The implementation of 18(3) whereby self funders can request Local Authorities to purchase care on their behalf, has a destabilising impact on our already fragile care market. In addition the level of provider failures/contract handbacks are really worrying and may impact our ability to provide suitable care or alternatives to those who can no longer afford first and third party top ups once they reach the cap. There also may not be sufficient care in the market for us to provide suitable lower price alternatives if first party and third party top ups are required.</p>										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	4	16	4	4	16	3	2	6	Apr-23	Amber
Tasks to mitigate the risk										
<p>The SCR Programme is undertaking some Modelling and Impact analysis to understand what the exact impacts will be on Norfolk County Council. Work on Behavioural Trends has also been commissioned. In addition we are working to understand how we will approach assessments in the future so that we can better meet demand (proportionality, whether we get partners involved in carrying out some assessments, whether we introduce some self assessment, use of technology etc).</p>										
Progress update										
<p>Programme is currently defining detailed activities and scope for each workstream which will determine what products will be due from each workstream.Review of Programme - milestones and programme of work requires review and potential rescoping following Government Budget on 17/11/2022</p>										

Risk Number	RM040				Date of update		07 November 2022			
Risk Name	ASSD assurance implementation									
Portfolio lead	Councillor Bill Borrett				Risk Owner		Debbie Bartlett			
Risk Description					Date entered on risk register		06 December 2022			
If we are rated Requires Improvement or Inadequate in the new Adult Social Services assurance regime this will damage our reputation. The impact of this on staffing morale would be significant and would likely result in loss of workforce. A rating of less than Good from Care Quality Commission would make it difficult to recruit good, experienced social workers, occupational therapists and assistant practitioners, leading to further loss of practice quality and increased wait times for citizens. The increased scrutiny and publicity will divert senior management time and make it more difficult to run an efficient, effective service.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	4	4	16	3	2	6	Apr-23	Amber
Tasks to mitigate the risk										
Initial action plan is being drawn up following regional mock assurance exercise, highlighting areas to focus efforts on. Performance Improvement Group (PIG) in place to drive quality improvements Performance is majorly impacted by recovery. Recovery tracker maps performance against key metrics weekly and is circulated to senior managers.										
Progress update										
Action plan has been drawn up and is being managed via the Performance Improvement Group (PIG). Impact and likelihood scores amended due to further information now being available about the assurance process and publication of national tables for ASCOF. CQC assurance framework remains in draft form currently. Recent publication of ASCOF regional results for 21-22, available to assurers under the new regime, shows the need for a refocus on KPIs impacting our ASCOF measures across organisation. Operational KPIs are being re-visited as a mechanism for driving up performance in key areas, particularly for turning the corner on some ASCOF measures. Regular performance reviews at DLT now taking place, broadening conversation from action plan and PIG to include focused discussions on performance measures and our current position. Operational Directors weekly meetings for localities include a focus on key recovery areas which impacts overall performance due to our backlog position.										

Cabinet

Item No: 13

Report Title: Corporately Significant Vital Signs

Date of Meeting: 11 January 2023

Responsible Cabinet Member: Cllr FitzPatrick (Cabinet Member for Innovation, Transformation & Performance)

Responsible Director: Paul Cracknell, Executive Director Strategy and Transformation

Is this a Key Decision? No

Executive Summary / Introduction from Cabinet Member

The purpose of this quarter two report is to provide the Cabinet with an update on the Council's performance against its Corporately Significant Vital Signs.

Each performance report provides the opportunity to review and understand current performance, trends, identify performance risks, and by regular monitoring during the period, allow early interventions and to validate the actions being taken to address performance deviation and identify further opportunities for improvement.

As a Council, we are balancing the need to create budget savings with the need to transform the way in which we deliver services in a sustainable way, and this is forming part of our strategic review. Alongside this we continue to operate in a period of unprecedented challenges around recruitment in the care sector, increases in referrals in addition to managing our post-covid recovery, and with residents experiencing continuing rises in the cost of living. This in turn is adding additional demand pressures onto services locally and in terms of the volumes of complaints and enquiries around the costs of services that we provide and value for money.

There remains issues with the way in which we record data for our rate of vacancies across Adults and Children's services and these methods are being investigated and discussed by HRBPs across services to ensure accuracy. Some saving programmes have highlighted risk areas which will need to be kept under review through the remainder of 2022-23, with anticipated shortfalls across Adult Services (£1.9M) and Finance (£0.400M) due to delays in transformation and benefits realisation related programmes.

Positively though, some services are moving into periods of more stabilised performance. We continue to see decreases in the rate of admissions of people to residential and nursing care for those aged 65 and above, and continue to see

increases in access to community services such as early years foundation activity in libraries and visits to our museums. Measures in relation to our fire audits and visits have also seen an increase in performance over the last two quarters and are performing above target level.

We manage this alongside rising to challenges such as reaching Net Zero and negotiating a County Deal as part of the Government's Levelling Up Strategy.

Our Performance is therefore key in assuring ourselves that we continue to strive towards the achievement of our Strategic Outcomes, as set out in Better Together, for Norfolk, and against the backdrop of the aforementioned pressures. It remains vital that we continue to provide the best outcomes and opportunities for our residents, their families, and businesses in Norfolk.

The report utilises the Corporately Significant Vital Signs that underpin portfolio outcomes using a traffic light visual rating. 41 monthly, quarterly, and annual Corporately Significant Vital Signs are being reported in this period, where performance for the monthly measure is drawn from the last month in quarter (September).

Performance is measured using Red, Amber, and Green (RAG) ratings based on the current level of performance against target. The table below shows the proportion of corporately significant vital signs at each RAG rating in the last month at the end of quarter three. Performance in the last month of quarter two is compared to that in the last month of quarter one.

41 Corporately Significant Vital Signs- please note that this Quarter includes 3 measures that are not RAG rated, therefore the total below will not equal 41.	
Green	24 Vital signs met or exceeded the target (26 last month in last quarter)
Amber	4 Are within the accepted tolerance of the set target (6 last month in last quarter)
Red	10 Vital Signs are below or behind the target set (10 last month last quarter)

In the review of performance, in addition to the "RAG" ratings, the trajectory of performance against target is noted as -

Improving  Deteriorating  Static 

Recommendations:

1. Review and comment on the end of quarter two performance data.
2. Review the considerations and next steps.
3. Agree the planned actions as set out.

1. Background and Purpose

1.1. Vital signs provide measurements of operational processes (internal) and strategic outcomes (external). Poor performance and or a deteriorating trajectory represents a risk to the organisation in terms of our ability to meet legal responsibilities, maintain financial health, meet the needs of our citizens and a reputational risk.

1.2. The Corporately Significant Vital Signs are closely aligned to the principles underpinning our Council Plan - Better Together, for Norfolk:

- A VIBRANT AND SUSTAINABLE ECONOMY
- BETTER OPPORTUNITIES FOR CHILDREN AND YOUNG PEOPLE
- HEALTHY, FULFILLING, AND INDEPENDENT LIVES
- STRONG, ENGAGED, AND INCLUSIVE COMMUNITIES
- A GREENER, MORE RESILIENT FUTURE

1.3. Each vital sign has a target which has been set based on the performance required for us to work within a balanced budget and meet statutory requirements. Where the measure relates to the delivery of services, benchmarking data has also been used to assess our performance against that of our statistical neighbours.




2. Proposal

2.1 This report uses data from the last month in the quarter, during which there has been some success during this time in increasing areas of previously poor performance.

2.2. There do remain however, several areas where performance is a cause for concern and potential risk, and these are identified in the relevant parts of the report, with mitigating actions described to outline our response to reaching target.

2.3 Highlights for the quarter (shows the total of indicators RAG by portfolio).







2.4. Throughout this report, the Red, Amber, Green “RAG” traffic light system of reporting is used, with some highlights on performance listed below.

	Total Vital Signs				Highlight
Adult Social Services	6	4	0	2	Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (65+ years) continues to improve month on month, and is now well below the target at 477 against a target of 607.
Children's Services	10	3	1	5	% of family support referrals who have had a referral in the previous 12 months continue to be below target at 9.7% against a target of 15%.

					This measure has consistently performed within target for 18 months.
Community & Environmental Services	12	1	0	11	% of high-risk home fire safety visits carried out has shifted performance from Q1 at 47.78% to 100% in Quarter 2 and is the first occasion to perform at or above target since May 22.
Finance & Commercial Services	9	1	2	4	FES - Debt recovery has increased by 3% to 93%
Strategy & Transformation	4	1	1	2	Performance across 3 measures remains static with two above target.

3. Impact of the Proposal - Vital Signs overview by portfolio outcome

3.1 Adult Services

Measures	Performance Q1	Performance Q2	Target	Trajectory
% of providers judged good or outstanding by Care Quality Commission	71%	68.6%	74%	Deteriorating 
% of Learning Disability service users who are in employment	3.9%	3.53%	5.9%	Deteriorating 
% of Mental Health service users who are in employment	1.89%	2.39%	5%	Improving 
% of Reablement cases where the outcome is recorded as not requiring any ongoing social care support	89.78%	85.22%	68%	Deteriorating 
Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (18-64 years)	26.72	25.12	23.6	Improving 
Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (65+ years)	483.26	477.4	607.1	Improving 

3.2 Four of the six performance measures are below target and “red” flagged, and have been so across the last two quarters, although two have seen some slight improvement. These are as follows, and with the following plans in place for corrective action.

3.3 Vital Sign 101: % of providers judged good or outstanding by Care Quality Commission. Target 78%. Current performance 68.6%. **Deteriorating.**

Local authorities have a duty under the Care Act 2014 to facilitate a diverse, sustainable and high quality care market for their whole population. High quality care improves the outcomes for residents with care and support needs, but also contributes to the efficient and effective operation of the adult social care and health system in the area. Norfolk has a proportionately low percentage of providers judged good or outstanding by CQC and the aim is to reach at least 85%, which would bring the county slightly above the average for both England and the East of England.

The county has had lower quality of care compared to some other local authority areas for some time. There are many elements that contribute to this and actions to see improvement will take time. Social care in Norfolk is provided by over 450 care providers, so the Council needs to work across the care market to help support and influence change.

The Norfolk care market is challenged due to lack of choice for enhanced and specialised care in particular, which can limit options for both individuals and commissioners to use good and outstanding provision as a matter of course. Workforce issues including staff shortages, lack of staff retention, and lower level of skills and qualifications are a factor for quality provision and can also prevent more providers expanding their offer to meet more complex needs. This has been exacerbated during 2022 by national workforce shortages and a continuing reduction in the social care workforce as confirmed by recent Skills for Care data.

The impact of staffing issues during Covid have been well-documented. However, an increase in workforce shortages over the last 18 months is placing more pressure on care provision and will impact on quality. An enhanced quality assurance team had been put in place to complement the CQC programme of work and support quality improvement. Since April 2021 the IQS has been focused on undertaking PAMMS reviews. However, an increase in care provision experiencing staffing and therefore quality concerns has required deployment of resources to focus on immediate improvement support and in some cases actions involving performance notices and support of service closures.

Onsite quality assurance audits recommenced April 2021 and the team was strengthened to enable some catch up of work delayed during 2021-22. Good progress has been made with a mix of both scheduled audits and undertaking focussed work with providers where quality concerns have been identified. The PAMMS assurance work will be increasingly important to both support and demonstrate quality improvement progress as CQC capacity is unlikely to enable sufficient inspections in the next 18 months to reach the targets. A review of contract management has identified improvement areas, including the need for a technology solution to support contract management across the £340m annual NCC spend with the adult care market and proactive and timely performance management discussions - discussing with corporate strategy and transformation is assessing the need.

The Developing Skills in Health and Social Care ESF project has been extended for a further year to Autumn 2023, which is helping to encourage and support wider skills and qualifications across the adult social care workforce. However, current workforce shortages is making it more difficult for care providers and their staff to access training, which had led to low referrals. The programme is broadening the offer to provide a wide range of training and mentoring support reflecting the current challenges.

A targeted programme to support registered managers was completed in 2022 and learning from this will help shape the future support offer.

The Norfolk and Waveney Adult Social Care Workforce Strategy has been published and a three-year implementation plan is being actioned. The government announced last year £500m nationally to support workforce development as part of the social care reforms, this funding has not yet been allocated and further information is awaited.

Following cessation of funding last March, actions have been taken to enable some initiatives to continue into 2022-23, these include the recruitment campaign, retention and recruitment workshops, earn as you learn and social care academies. In addition there is support for targeted referrals, introduction of funding for the Bluelight card for staff and development of initiatives to increase workforce and skills capacity including trainee nursing associate development and a hub and peer to peer network for international recruitment. Recent funding from Health Education East is helping to support these initiatives until March 2024.

Across the ICS a collaborative programme of work has commenced to improve social care quality following the strategic framework approach agreed by Cabinet in June, tackling care quality improvement and is set out in a paper to Cabinet in June. The programme of work is across the ICS engaging care providers, NCC teams, the integrated care board, and those in receipt of care services. The aim is to provide a system wide evidence-based approach to identify, plan and create the right infrastructure to improve and sustain care quality improvement. The focus is on delivery, reducing variation in care and creating a learning culture, transforming the experience for those that are in receipt of service, creating the conditions for good quality and providing good value for money.

Workstreams are delivering provider engagement, approaches to service user feedback, aligning with the review of our approach to contract management; continuing to develop our support for quality improvement; reviewing health functions within and supporting social care and enabling projects focused on implementation of the workforce strategy, digital transformation, ethical commissioning and cost of care work.

3.4 Vital Sign 102: % of Learning Disability service users who are in employment. Target 5.9%. Current performance 3.53%. Deteriorating

There is increased performance in October with 3.53% people with an LD in paid employment representing an increase of 7 people from 67 to 74. This is the highest number since April in percentage and actual numbers. The challenge is that whilst the employment service is placing a lot of people in work (see below) there is a high number of people with disabilities who leave employment often as a result of increased disadvantage. The employment service is addressing this by whenever possible identifying people at risk of leaving a job and placing them in a new job so that they don't become unemployed.

Norfolk's ASCOF return for Learning Disability in paid employment has also shown an improvement for 22/23 between Q1 and Q2 moving from 3.6% to 4.0%. This is in line with our regional 'buddy' Suffolk as a comparison.

For young people 18-25 open to ASS NEET, performance has improved significantly.

Between Oct 2020 and Oct 2022:

- the EET percentage has increased from 17% to 30%
- those in paid employment has gone up from 27 to 64

There are currently 19 SEND young people in Apprenticeships and 28 in Supported Internships.

Actions to bring around improvements to this measure will take time due to the intensive work required with individuals to support them into employment and related opportunities. However, NES continues to achieve very positive outcomes for ASSD service users open to the service. So far since April in 22/23 NES has achieved 29 paid job starts, 5 work trials, 9 training/education outcomes, 24 work experience, 24 volunteering plus 95 work interviews. Of the 29 paid outcomes 24 are Learning Disability and 5 Mental Health. This represents another increase this quarter and projections for the next quarter will be for this increase to continue.

Work is currently happening with colleagues from the Information and Analytics Team to ensure that the local data reporting accurately reflects the overall picture of paid and unpaid employment, as reported on the MI dashboard, alongside the nationally submitted ASCOF result.

In May a significant piece of work was undertaken by the employment team to update client records across all ASSD service users to ensure that employment status is more accurately recorded. This is being further built on by the establishment of a regular employment bulletin for ASSD promoting the benefits of employment, referrals to NES and encouraging better employment recording.

The management of the two employment teams – the Norfolk Employment Service (who support individuals into work) and Skills Employment Team (who work with employers) continues to be effective in terms of more closely align their work and deliver a more joined-up service. The Life Opportunities work has also restarted, with commissioners working with existing day service providers, countywide, who have committed to offer an improved, redesigned Skills and Employment programme. Commissioners are also working with a provider new to Norfolk who have had significant success in other counties through both their Social Enterprise business and job-coaching for other external opportunities. Further work with Children's Services is increasing capacity to facilitate work being carried out during transition to adulthood.

Norfolk was one of 20 successful LA's in its DWP Local Supported Employment bid, aimed at 60 people with autism and/or a learning disability. As well as building additional capacity for employment support for ASC users it will support the development and delivery of best practice around supported employment both within the local authority and more generally. This work will also support the council's NEET and SEND agenda.

ASSD has piloted an internal paid work experience opportunity for service users as part of development of more opportunities within NCC. Two service users successfully

started on this, including one with a Learning Disability and have since moved in to further employment in NCC.

The wide range of partnership development activities continue, including working with the SEND Employment Action Group, a working protocol with CHANCES scheme, DWP, Shaw Trust, and the Apprenticeships programme. Similarly, work with employers continues through SET including generating vacancies, promoting the Disability Confident scheme, Access To Work and finding work placements for referrals from NES and day services.

3.5 Vital Sign 106: % of Mental Health service users who are in employment. Target 5%. Current performance 2.39%. Improving.

Performance has increased to 2.39% people with Mental Health in employment representing an increase of 2 people from 18 to 20. This is the highest number since April in percentage and actual numbers. The challenge is that whilst the employment service is placing a lot of people in work (see below) there is a high number of people with disabilities who leave employment, especially as a result of increased disadvantage. The employment service is addressing this by whenever possible identifying people at risk of leaving a job and placing them in a new job so they don't become unemployed.

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- those in paid employment has gone up from 27 to 64

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Work is currently happening with colleagues from the Information and Analytics Team to ensure that the local data reporting accurately reflects the overall picture of paid and unpaid employment, as reported on the MI dashboard, alongside the nationally submitted ASCOF result.

In May a significant piece of work was undertaken by the employment team to update client records across ASSD service users to ensure that employment status is more accurately recorded. This is being further built on by the establishment of a regular

employment bulletin for ASSD promoting the benefits of employment, referrals to NES and encouraging better employment recording.

Recently, the management of the two employment teams – the Norfolk Employment Service (who support individuals into work) and Skills Employment Team (who work with employers) have been merged to more closely align their work and deliver a more joined-up service.

Norfolk was one of 20 successful LA's in its DWP Local Supported Employment bid, aimed at people with autism and/or a learning disability. As well as building additional capacity for employment support for ASC users it will support the development and delivery of best practice around supported employment both within the local authority and more generally. This work will also support the council's SEND and NEET agenda.

Whilst focussed on individuals with learning disabilities and autism, the remit is flexible enough to support those with mental health issues as their primary care category. This work will also support the council's SEND agenda and Written Statement of Action.

Norfolk is also currently awaiting the outcome of the Individual Placement Support in Primary Care (IPSPC) DWP bid. This project is a Norfolk county-wide two-year multi-strand intervention from April 2023 that will provide a bespoke IPS programme to individuals under-served by current provisions for sustained employment, with a key focus on people with mental health difficulties. Providing intensive, individual support, resulting in paid employment and time-unlimited in-work support for both the employee and the employer. If successful it will support 1500 participants across Norfolk, including 1125 out-of-work participants and 375 in-work participants.

There are a number of other employment focussed support services outside of NCC in Norfolk for adults with mental health conditions. Service users receiving support from NCC can access these to secure employment. We have sought to improve links between NES and the MIND Routes Employment service including a joint presentation to the service management team in Feb 2022 and sharing information where MIND support a person into work. A joint working protocol is in place with Chances employment service.

We have established a regular report from NIHCSS to receive an update on the people they have supported into employment so we can ensure records are updated for reporting purposes.

The wide range of partnership development activities continue, including working with the SEND Employment Action Group, a working protocol with the CHANCES scheme, MIND, DWP, Shaw Trust, and the Apprenticeships programme. Similarly, work with employers continues through SET including generating vacancies, promoting the Disability Confident scheme, Access To Work and finding work placements for referrals from NES and day services.

3.6 Vital Sign 203: Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (18-64 years) Target 16.9. Current performance 25.12. **Improving**.




For the number of permanent admissions to residential and nursing care, predicting and modelling more precisely given the factors over the past two years has been particularly challenging with no patterns against which to benchmark and with much beyond our control. In addition to the well documented impact of Covid, the demands of D2A and the greater support provided to the local NHS system has had a detrimental impact on the Social Care metrics in this area. Focus remains on supporting maximum return to independent living and facilitating moves from short-term care back into peoples' own homes (rather than onward into long-term care) where possible.







A commissioning focus in Learning Disabilities has delivered enablement schemes in three localities, with further provision planned to deliver in the next few years, alongside the development of supported living and an interim programme of accommodation whilst longer-term sustainable accommodation options are developed, and the promotion of access to other tenancy-based general needs provision (with reasonable adjustments). In particular, work is underway to utilise mainstream Housing with Care voids for people with learning disabilities. This has supported a reduction in the overall numbers of people with a learning disability living in residential care placements in the 2021/22 financial year. This quarter has seen a further reduction in the numbers of people with LD in residential care.

In mental health, the loss of residential beds due to providers withdrawing from the market is being replaced with commissioning activity focussing on increasing capacity in rehabilitation and recovery-based support. Where residential care is used, the focus is on the rehabilitative use of temporary care with a goal of return to more independent living. A new residential and supported living team has been established with a focus on overdue reviews and identifying people who can be supported to move to more independent settings. A joint ICB/NCC complex needs supported living group is meeting to progress a joint approach to accommodating people with more complex needs in supported living rather than residential care.

For physical disabilities, the supported living programme includes plans for developing new accessible housing with care for people with complex needs and the District Direct services that NCC commissions in general acute will engage with people with physical disabilities where there are housing related barriers to discharge from an in-patient bed.

3.7 Children's Services

Measures	Performance Q1	Performance Q2	Target	Trajectory	
% of schools judged good or outstanding by OFSTED	88%	85%	86%	Deteriorating	
% of children and young people subject to a Permanent Exclusion	July 22- 0.11%	July 22- 0.11%	0.06%	Deteriorating	
% of Care Leavers who are EET (19 - 21)	63%	64%	52%	Improving	

% of family support referrals who have had a referral in the previous 12 months	10.50%	9.70%	15%	Improving	
Decreasing the rate of Looked-After Children per 10,000 of the overall 0-17 population	63.1%	65.9%	62.3%	Deteriorating	
% of Referrals into social care who have had a referral to social care in the previous 12 months	18.90%	16.3%	20%	Improving	
% of children starting a Child Protection Plan who have previously been subject to a Child Protection Plan (in the last 2 years)	10%	10%	11%	Static	
% of Children achieving a good level of development in Early Years at age 5	N/A	64.6%	N/A	N/A	
% of Looked After Children with up-to-date Personal Education Plan	97%	97%	95%	Static	
% of Education, Health and Care Plans completed within Timescale	47.80%	50.2%	60.4%	Improving	

3.8 Of the 10 performance measures, 1 is “amber”, and has deteriorated from Green against last quarter. 3 are “red”, with 2 deteriorating, all of which have remained as such over the last two reporting figures, these are as below, with the appropriate plan in place.

3.9 Vital Sign 301: % of schools judged good or outstanding by OFSTED. Target 86%. Current performance 85%. Deteriorating.

Ofsted paused graded inspection activity from April 2020 due to Covid-19 pandemic until June 2021. After a positive start, there have been more schools nationally and in Norfolk who received a Requires Improvement judgement since then. In primary schools this is usually because the wider curriculum hadn't been sufficiently well developed and / or implemented. There have also been a number of schools who have been judged Good, having previously been judged as Inadequate or Requires Improvement.

94% of local authority maintained schools are good or outstanding. Our processes to identify schools at risk of adverse inspection and intervene successfully remains successful. As dictated by DfE policy, the majority of schools not judged as good are now part of Multi-Academy Trust. We continue to monitor the performance of Multi-Academy Trusts and discuss this with trust leaders, challenging and offer support if their trajectory of improvement is not strong.

3.10 Vital Sign 305: % of children and young people subject to a Permanent Exclusion. Target 0.06%. Current performance 0.11%. Deteriorating.

Overall, exclusions are continuing to fall in Norfolk compared to years before the pandemic.

Arrangements and access to specialist support and provision beyond mainstream, for pupils at significant risk of exclusion, are under review with the intention of providing quicker and earlier access to Alternative Provision.

Every exclusion is followed up to explore other options whenever possible. Further investment is being planned for a new and enhanced primary SEMH Specialist Resource Base model which will significantly increase the number of placements.

3.11 Vital Sign 309: “Decreasing the rate of Looked-After Children per 10,000 of the overall 0-17 population”. Target 62.3. Current performance 65.9%. **Deteriorating.**

Whilst our overall rate sits at above our stretching target, it is important to note that we remain below the national average and below our statistical neighbours. Whilst we have seen a significant increase in the total number of looked after children, this is due to the recent significant rise in the number of unaccompanied asylum seeking children (UASC) coming into Norfolk. Most importantly, when considering the rate of Looked After Children excluding UASC, our rate per 10K is at 58.3%, well below our own stretching target and significantly lower than the national picture. As all are aware, we have no control over the number of UASC entering Care in Norfolk and as a service, UASC is cost neutral due to the central government support we receive. As such, we would suggest that we are now exceeding by some way our stretching target and work put in place to reduce numbers of looked after children is successful.

There is a continued focus on the population of looked after children - in terms of UASC ensure that provision needed is in addition to provisions for our local cohort and that the service continues to work within the central government funding envelope; for our local cohort we continue to focus on the practice which is now embedded to ensure that only the right children are in our care.

3.12 Vital Sign 322: “% of Education, Health and Care Plans completed within Timescale”. Target 60.40%. Current performance 50.2%. **Improving.**

Performance is affected by demand versus available capacity of the teams which carry out the assessments and develop EHCPs, including that of broader professionals such as Educational Psychologists whose advice is essential to and a statutory requirement of the assessment. Where demand exceeds available capacity this can negatively impact timescale compliance. Demand for EHC assessments has risen by an average of 15% every year since 2016. The service is forecasting a further 30% increase in requests this year. National shortages of essential practitioners (i.e. Ed Psychs, Speech and Language therapists) also impacts compliance.

Performance improvement has been hampered by temporary staffing vacancies that have been filled. We have increased the Education Psychology team which has been the most significant barrier to timely assessment, and continual improvement in process has improved efficiency. Clearing the backlog of cases necessitates producing plans that are already out of timescale.

3.13 Community and Environmental Services

Measures	Performance Q1	Performance Q2	Target	Trajectory	
% of planning applications determined within statutory or agreed timescales	99%	99%	90%	Static	→
% of businesses brought to compliance	99%	99%	95%	Static	→
Kilograms of residual household waste per person per year	245	237	260	Improving	↑
% of high-risk fire safety audits completed	100%	100%	100%	Static	→
% of emergency response within 10 minutes to fire incidents where life may be at risk (and 13 minutes to other incidents where life may be at risk)	72.3%	88.3%	80%	Improving	↑
% of high-risk home fire safety visits carried out	47.78%	100%	90%	Improving	↑
Number of museum visits	23,872	25,633	14,791	Improving	↑
Participation of Early Years Foundation Stage activity in libraries	13,314	15,111	12,000	Improving	↑
% waste recycled at Recycling Centres	72.89%	72.28%	70%	Static	→
% of defects dealt with within timescales	90%	95.70%	92.5%	Improving	↑
Customer satisfaction (with council services)	88%	94%	90%	Improving	↑
Increased use of public transport (New Measure)	N/A	5273596	5900000	N/A New Measure.	

3.14 Of the 12 performance measures, 1 is measured “red”, and is a new measure for 2022/23. The associated responses and corrective measures are as below

—

3.15 Vital Sign 225: Increased use of public transport. Target 5900000. Current performance 5273596.

This is a new measure for 2023/23 and is being reported on for the first time this quarter. It remains difficult to predict public transport passenger figures as there are so many external factors at play that may influence the uptake, however the service are looking to implement an improvement plan now that further funds from the Department for Transport have been received, which should assist in increasing use.

3.16 Finance and Commercial Services

Measures	Performance Q1	Performance Q2	Target	Trajectory
Property - Savings target delivered	£50,000	£100,000	£100,000 (New target Q2)	N/A
Capital receipts for land sold, that will be counted as part of overall capital receipts	£643,150	£22,527,000	£5,000,000	Target change in year

Revenue monitoring by organisation	N/A	£936,000	N/A	N/A	
Savings targets delivered	£28,434,000	£26,134,000	£28,434,000	Deteriorating	↑
FES - Debt recovery	90%	93%	85%	Improving	↑
Payment performance - % of invoices paid within 30 days of receipt	97.50%	98.50%	98%	Improving	↑
Level of borrowing / debt	£853,046,000	£853,046,000	£855,401,000	Static	→
Reserves forecasts (Annual)	£146,692,000	£152,143,000	£74,181,000	Improving	↑
Capital monitoring- Profiled projected annual spend vs actual to date	21%	42%	10%	Improving	↑

3.17 One performance measures is below target and “red”, as outlined below –

3.18 Vital Sign 404: Savings Targets Delivered. Target £28,434,000. Current Performance £26,134,000. **Deteriorating.**

A shortfall of £1.9m has been reported in Adult Social Services, and £0.400m in Finance and Commercial Services. The Adults shortfall relates to: (1) Delays in the Supported Housing Programme due to Covid and the current planning issues around nutrient neutrality which have impacted the timing of savings delivery. (2) Delays to the Norsecare transformation programme. Within Finance and Commercial Services, benefits realisation work is underway to quantify the value of savings from the HR & Finance System replacement, however the £0.400m saving anticipated for 2022-23 is not forecast to be delivered this year.

Some saving programmes have highlighted risk areas which will need to be kept under review through the remainder of 2022-23. Executive Directors are responsible for taking actions to deliver individual saving plans in year, and/or to restart delivery of savings to minimise 2023-24 impacts and/or to identify alternative options and mitigations. The forecast savings delivery position is reported to Cabinet monthly, and full details of mitigating actions are set out in that report. Any permanent non delivery issues will need to be mitigated within the 2023-24 Budget setting process.

3.19 Strategy and Transformation

Measures	Performance Q4	Performance Q1	Target	Trajectory	
New employee retention (24+ months)	66%	66%	70%	Static	→
Sickness absences - % lost time	3.10%	3%	3.50%	Static	→
Adults Social Worker Vacancies - % establishment filled (Grade I – L)	100%	86%	90%	Deteriorating	↓
Absence due to mental health as a % of lost time due to sickness absence (*note	0.98%	0.9%	1.2%	Static	→

measure has changed since quarter 4 and is no longer based on overall absence time)				
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3.20 1 “red” cause for concern that has remained so for two reporting periods, and 1 “amber” that are highlighted as –

3.21 Vital Sign 500: New employee retention (24+ months). Target 70%. Current performance 66%. **Static.**

Attracting, selecting, and training new colleagues takes considerable resource investment and retention of employees is vital for the stability of our service delivery. In addition, evidence shows that where there is a mismatch in skills, knowledge and engagement retention is more difficult. It is therefore important that we retain a significant proportion of our new starters beyond two years of service.

690 surveys have been completed since its introduction in June 2021 with 126 completions in the Qtr July-Sept 2022. The highest area with leavers is Childrens services at 28.5% closely followed by CES 20.3% and Adult Social Services at 17.9%. These figures are reflected in the continued high levels of recruitment demand, despite the current restrictions on resourcing posts in preparation for the outcomes of the Strategic review.

Overall, the majority of areas measured gave a moderate or amber score with one area green ‘I had useful open conversations with my manager to find practical solutions to problems I experience’. Within individual directorates some areas are clearly identified as needing improvement including the ‘sense of fulfilment from what I did’ ‘I often experience pressure at work’ and involvement in how change was managed. These results can be mapped to and reflect the recent employee survey.

We continue to review the available data and intelligence to support recruitment and retention. This includes improvements to our employee offer, particularly in hard to recruit and retain roles.

3.22 Vital Sign 503: Adults Social Worker Vacancies - % establishment filled (Grade I – L) Target 90. Current Performance 86%. **Deteriorating.**

Social Work is a national skills shortage occupation and is highly competitive in both the permanent and temporary labour market, increasing the challenge to reach the targeted establishment level.

We have taken a number of steps to support performance improvement including:

- In August 2022 we introduced a Golden Hello of £2k for all social worker roles
- In September 2022 we launched a joint “We Care” marketing campaign with Childrens Services targeting 400 applications (40 roles.) This will run for 6 months.
- In October 2022 we created a centralised recruitment admin function to minimise administrative burden on teams

We have also:

- Introduced protected training time for Social Workers and OTs

- Centralised the tracking of vacancies and the performance of recruitment process
- Introduced a weekly DLT review of the recruitment position to drive targeted intervention.

Further activities planned include:

- Developing a new international recruitment approach and investing into our support offer for international staff
- We are seeking to develop a focused resource to manage shortlisting and coordinate interviews for all social worker roles

These actions will support a streamlined and strengthened offer to this very competitive market.

4. Impact of the Proposal

4.1 Information Report

5. Evidence and Reasons for Decision

5.1 N/A

6. Alternative Options

6.1 Information Report.

7. Financial Implications

7.1 N/A

8. Resource Implications

8.1 Staff: N/A

8.2 Property: N/A

8.3 IT: N/A

9. Other Implications

9.1 Legal Implications: N/A

9.2 Human Rights Implications: N/A

9.3 Equality Impact Assessment (EqIA) (this must be included): N/A

9.4 Data Protection Impact Assessments (DPIA): N/A

9.5 Health and Safety implications (where appropriate):

9.6 Sustainability implications (where appropriate): N/A

9.7 Any Other Implications: N/A

10. Risk Implications / Assessment

10.1 This report is intended to be read with the Risk Management Report

11. Select Committee Comments

11.1 N/A

12. Recommendations

1. Review and comment on the end of quarter three performance data.
2. Review the considerations and next steps.
3. Agree the planned actions as set out.

13. Background Papers

13.1 None

Officer Contact

If you have any questions about matters contained within this paper, please get in touch with:

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Cabinet

Item No: 14

Report Title: Organisational Performance Framework

Date of Meeting: 11 January 2023

Responsible Cabinet Member: Cllr FitzPatrick (Cabinet Member for Innovation, Transformation & Performance)

Responsible Director: Paul Cracknell, Executive Director Strategy and Transformation

Is this a Key Decision? No

Executive Summary / Introduction from Cabinet Member

The purpose of this report is to provide Cabinet with an overview on the Council's proposed Organisational Performance Framework.

Performance Management is about the practical ways that the Council can improve what it does, and more importantly what it delivers in terms of good quality services that meet the needs of local people. The ability to manage performance is critical to our success.

Performance management across Norfolk County Council (NCC) is varied in nature. Some departments follow a consistent regular structure of review, whilst other departments follow a less structured approach. The aim of this proposal is to ensure performance follows a consistent approach across all Directorates and allows for corporate oversight of performance management.

Effective performance management provides the opportunity to review and understand current performance, trends and identify performance risks, allowing early interventions and to validate the actions being taken to address performance deviation and identify further opportunities for improvement.

Norfolk County Council continues to operate in a period of unprecedented challenges, with increases in demand for services, the rise in the cost of living and goods and the need to close significant budget gaps over the coming years.

Performance is therefore key in assuring ourselves that we continue to strive towards the achievement of our Strategic Outcomes, as set out in Better Together, for Norfolk, and against the backdrop of the aforementioned pressures. It remains vital that we continue to provide the best outcomes and opportunities for our residents, their families, and businesses in Norfolk.

The Framework lays out our approach and expectations against the following areas:

- Performance Framework Principles
- Performance Governance
- Performance Management Culture
- Vital Signs measurement, reporting, target setting and trend analysis
- Performance Reporting Cycle

Recommendations:

1. Review the accompanying framework document and approve the implementation.

1.2 Background and Purpose

- 1.3. It is intended that this Framework provides an overview of both the processes, systems and the culture by which we shall achieve our Organisational and Directorate Plans and the minimum standards required to do so. It should help decision makers to understand whether our actions are consistent with our ambitions and should help to highlight areas of failing or poor outcomes/delivery.
- 1.4. The Framework is constructed to help with the evaluation of the success of our interventions. To do this we have a series of indicators, Corporately Significant Vital Signs which form the basis for evidencing the achievement of our Strategy, Better Together for Norfolk.
- 1.5. The Vital Signs Dashboard, which is now operating at optimal level as a minimum viable product, requires critical updates to enhance the level of insights and analytics that can be drawn from our data, alongside ensuring that it is fit for purpose and has had the relevant systems and software updates that are now available through various Microsoft platforms.
- 1.6. This framework is built around 5 pillars, Accountability, Assurance, Trustworthiness, Quality and Value:
 - Accountability: By this we mean being accountable, taking account of and giving an account, and means being accountable for:
 - Effectiveness; Performance including quality
 - Efficiency; value for money
 - Assurance: By this we mean being equipped with the knowledge that supports us being assured of and able to assure others of our performance,
 - Trustworthiness: By this we mean building and maintaining confidence in the People, Teams and Organisations that help us to produce, understand and

deliver insights into our progress as a Council in meeting our strategic objectives,

- Quality: In ensuring that we use data and methods that produce assured information, that helps us to build a bigger picture around what our Performance really means and how this contributes to a quality service delivery,
- Value: that we produce data, information and insights that supports our need across the organisation in evidencing our approach and addressing the questions asked of us internally and externally, that affect our end users the most.

2. Proposal

2.1 The Framework principles intend to set out the expectations that the Council requires in order to effectively manage its performance and to become higher performing.

2.2 Performance management across Norfolk County Council (NCC) is varied in nature. Some departments follow a consistent regular structure of review, whilst other departments follow a less structured approach. The aim of this proposal is to ensure performance follows a consistent approach across all departments and allows for corporate oversight of performance management and mitigation of risk.

2.3 It sets the intentions of performance management culture across the organisation, and clearly sets out what performance should mean for individuals across all levels of the organisation.

2.4 Governance around performance management and monitoring needs to be set across the organisation at a minimum standard level, with shared expectations around our approach to setting our Corporately Significant Vital Signs, in line with our Strategy, Better Together, for Norfolk, and our approach to understanding outcomes achievement and value for money.

2.5 Our reporting cycle requires strengthening, and this Framework sets the intention that the Executive Leadership Team shall be briefed on a monthly basis, on arising performance matters and risks, to afford more effective root cause analysis, action planning and resolution to areas of weakening or poor performance. Alongside this, a risk and performance forum shall operate on a quarterly basis, bringing together performance and risk leads across all Directorates, to ensure that we are effectively challenging and mitigating areas of emerging risk appropriately and setting the right course of action in these areas.

2.6 This framework supports and is supported by the implementation of the Strategic Review. Through that programme of change we are making changes that will ensure the Council can recognise, analyse and respond to change in a positive manner – for the benefit of staff, the wider organisation and the communities that we serve. The strategic review intends to bring about both structural and cultural changes that will support clarity of communication and accountability (for example through implementing revised organisational design principles); streamlined structures and processes; and realigning enabling functions to remove duplication and support more effectively the delivery of frontline services.

2.7 The Vital Signs Dashboard, which is now operating at optimal level as a minimum viable product, requires critical updates to enhance the level of insights and analytics that can be drawn from our data, alongside ensuring that it is fit for purpose and has had the relevant systems and software updates that are now available through various Microsoft platforms.

3. Impact of the Proposal

3.1 The changes resulting from the Framework will impact to some degree on all Directorates at varying levels. Performance management across Norfolk County Council (NCC) is varied in nature. Some departments follow a consistent regular structure of review, whilst other departments follow a less structured approach. Performance representatives across Directorates and the Executive Leadership Team have been consulted on these proposals and have been able to provide feedback and suggestions to the proposal that should mitigate risk of impact on their current delivery of performance.

3.2 Whilst we recognise the process of change could be challenging in some instances, staff have welcomed the opportunity to be part of forming this framework and to have the opportunity to work collaboratively to set the direction for performance across the Organisation as a whole.

4. Evidence and Reasons for Decision

4.1 Performance management across Norfolk County Council (NCC) is varied in nature and our reporting structure does not lend itself to proactive mitigation or action planning against performance risk.

4.2 Our existing technological solution and supporting reporting cycle requires critical updates to enable users to provide the highest level of insights and analysis to their Teams in order to more effectively performance manage across their services.

4.3 Levels of accountability for performance management is different across Directorates and needs some minimum standards in place to ensure we are meeting and evidencing our performance against our Strategic Outcomes more effectively.

5. Alternative Options

- 5.1 We could decide to not proceed with the implementation of this Framework, but this will not address the organisational issues identified in this paper.

6. Financial Implications

- 6.1 None identified at report submission.

7. Resource Implications

- 7.1 Staff: Some implications identified for Performance Leads across Directorates, whom have had the opportunity to feed into the Framework and discuss opportunities for collaborative working in the future.
- 7.2 Property: N/A
- 7.3 IT: Some implications identified for I&A resource in terms of supporting the further development of the Vital Signs Dashboard. Relevant leads for this work have been consulted and the work shall form part of their scheduled programme of activity across the year leading into April 2023.

8. Other Implications

- 8.1 Legal Implications: N/A
- 8.2 Human Rights Implications: N/A
- 8.3 Equality Impact Assessment (EqIA) (this must be included): There are no considered implications or impact on equalities for the Framework, as the Framework is intended to strengthen and formalise existing approaches.
- 8.4 Data Protection Impact Assessments (DPIA): There are no considered implications or impact on data protection at present in addition to those already assessed in terms of the development of the Vital Signs Dashboard.
- 8.5 Health and Safety implications (where appropriate): N/A

8.6 Sustainability implications (where appropriate): N/A

8.7 Any Other Implications: N/A

9. Risk Implications / Assessment

9.1 If we do not strengthen our approach to Organisational Performance Management we could leave ourselves at risk of not being able to make evidence based decisions, nor evidence the achievement of outcomes against our Strategy, Better Together, for Norfolk.

10. Select Committee Comments

10.1 N/A

11. Recommendations

11.1 Review the accompanying framework document and approve for implementation

12. Background Papers

12.1 Organisational Performance Framework

Officer Contact

If you have any questions about matters contained within this paper, please get in touch with:

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Draft Performance Framework

Introduction:

Performance Management is about the practical ways that the Council can improve what it does, and more importantly what it delivers in terms of good quality services that meet the needs of local people. The ability to manage performance is critical to our success.

Performance management across Norfolk County Council (NCC) is varied in nature. Some departments follow a consistent regular structure of review, whilst other departments follow a less structured approach. The aim of this proposal is to ensure performance follows a consistent approach across all departments and allows for corporate oversight of performance management.

Framework Principles:

It is intended that this Framework provides an overview of both the systems and the culture by which we shall achieve our Organisational and Directorate Plans and the minimum standards required to do so. It should help decision makers to understand whether our actions are consistent with our ambitions and should help to highlight areas of failings or poor outcomes/delivery.

The Framework is constructed to help with the evaluation of the success of our interventions. To do this we have a series of indicators, Corporately Significant Vital Signs which form the basis for evidencing the achievement of our Strategy, Better Together for Norfolk.

This framework is built around 5 pillars, Accountability, Assurance, Trustworthiness, Quality and Value:

Accountability: By this we mean being accountable, taking account of and giving an account, and means being accountable for:

- Effectiveness; Performance including quality
- Efficiency; value for money

Assurance: By this we mean being equipped with the knowledge that supports us being assured of and able to assure others of our performance,

Trustworthiness: By this we mean building and maintaining confidence in the People, Teams and Organisations that help us to produce, understand and deliver insights into our progress as a Council in meeting our strategic objectives,

Quality: In ensuring that we use data and methods that produce assured information, that helps us to build a bigger picture around what our Performance really means and how this contributes to a quality service delivery,

Value: that we produce data, information and insights that supports our need across the organisation in evidencing our approach and addressing the questions asked of us internally and externally, that affect our end users the most.

Linking Performance Management to Business Planning, Risk & Finance:

The Performance Management Framework and Cycle shall directly link to that of our Corporate Delivery Planning process and there shall be a 'Golden Thread' that entwines these processes to ensure that decision making around our plans and proposed delivery of our strategy is considered with finance, risk and performance management in mind. Alongside this activity we need to ensure that the organisation strives to be as effective, efficient and high performing as it can be, with value for money and public value at its heart. The Organisational Performance Lead will work collaboratively to agree the format for and assessment of the organisation under these themes. This could be achieved through existing audit and inspection regimes or through self-assessment tools, like the Public Value Framework, where appropriate.

Monitoring of our Organisational Performance shall be considered holistically, with risk management, finance and our Corporate Delivery Plan Outcomes forming part of our overall assessment of the 'health' of our Organisation.

There are dependencies between good risk management and performance management, and if managed ineffectively or in silo, can be detrimental to achieving the Council's outcomes.

It was agreed at Cabinet on the 6th April 2020 that financial performance, strategic risks, and performance will be reported together to Cabinet on a quarterly basis, and it is on this basis that risks both corporately and financially should be reviewed and discussed in line with performance and incorporated into performance related dashboards where possible. The Corporate Risk Register shall be reviewed, and scoring challenged and amended with performance of the Corporately Significant Vital Signs in mind on a Quarterly basis. Alongside this a Risk and Performance Forum shall commence, to assist the Organisational Performance Lead and Risk Management Officer in having a strategic overview of corporate risks, to enable more effective reporting to the Executive Leadership Team.

Employee Performance Development at NCC:

Through the use of appraisals and regular reviews, NCC promotes a positive performance culture, that is based around support, sharing of good practice and reward and recognition. It's important that our Performance Development Cycle continues to provide the 'Golden Thread' between our employees, their Services and Departments, through the use of targets and objectives that are SMART and link clearly to Departmental Plans. It is important that we support employees in understanding and being able to identify their contribution to the wider Organisational Strategy and Corporate Delivery plans, and that similarly, employees receive recognition for their contribution.

Discussion of performance against our Service and Departmental Plans should form part of 1-2-1 and Team/Service Meetings, where learning and best practice is shared to enable the positive promotion of our performance culture.

Performance development involves conversations between managers and employees at the beginning and throughout their employment to:

- Establish clear goals and expectations in work aligned to organisational plans
- Identify and maximise the strengths of contribution to the service and NCC as a whole
- Plan for the development of skills and experience including work-led opportunities including projects and secondments

- Review performance and future development plans

The full Performance Development Framework can be found on MyNet [here](#).

Performance Governance:

Corporate governance is the means by which we direct, control and lead the organisation. It involves setting and implementing the strategy and acts as a mechanism to supervise the work and services that we provide to those in our communities.

Our Senior Management Team are responsible for setting and modelling organisational culture and being accountable to the Council, staff, members, communities and one another.

Our Performance Framework and Infrastructure, as implemented by the Organisational Performance Lead, supports good governance and defines where accountability lies through the organisation. It sets out the performance values/pillars and culture we expect, which will evolve over time. It acts as a mechanism to provide Senior Leaders and Management staff with the right tools, data, and evidence base to help them to shape their conversations around performance, to define accountable relationships to performance and to determine the responsibilities of all staff in their collective influence towards good practice and attainment of the Organisational Strategic goals.

Openness and accountability matter at every level of the organisation. Good governance in a performance context is about having a clear focus on what is taking place across Departments and by those who act on their behalf. Ownership of performance will be stronger if a collaborative approach is taken both from a Leadership and Workforce perspective.

This framework supports and is supported by the implementation of the Strategic Review. Through that programme of change we are making changes that will ensure the Council can recognise, analyse and respond to change in a positive manner – for the benefit of staff, the wider organisation and the communities that we serve. The strategic review intends to bring about both structural and cultural changes that will support clarity of communication and accountability (for example through implementing revised organisational design principles); streamlined structures and processes; and realigning enabling functions to remove duplication and support more effectively the delivery of frontline services.

Executive Directors take a leading role in reinforcing our performance values and culture within their portfolio areas and through their own behaviours and decision making. They hold Departments collectively to account for Performance, ensuring that updates to and publications in performance monitoring tools, such as the Vital Signs Dashboard, is kept up to date, with information and evidence that is accurate, timely and relevant to the measures described.

In brief they will hold responsibility for:

- Ensuring regular feedback of performance within their portfolio area, highlighting challenges, concerns, and areas of good practice to fellow Executive Directors, Members, and members of the wider Corporate Team
- Work closely and collaboratively with others, using peer review to collaborate and challenge on issues that are cross cutting, that have an impact on performance improvement

- Ensuring they are well prepared, trained and possess the appropriate level of understanding of the performance of their portfolio areas, to be able to evaluate the effectiveness of the services being delivered and the success of contribution to wider Strategic goals
- Ensuring and being assured that necessary resources are in place for the Council to meet its strategic goals, ensuring that performance management has the right balance of influence over their Portfolio's workforce planning and development
- Ensuring effective controls are in place which enable risk to be highlighted, assessed, and managed, preserving value and sustainability over the long term
- Seeking regular engagement with Directors and Departmental Heads of Service, stakeholders, and members in order to understand their views on performance against the strategy.

To be accountable is to be answerable, and for the right accountability relationships to exist, Executive Directors have the right level of influence to drive the Performance ambition forward. This requires them to demonstrate an understanding of performance, risks and the mechanisms to achieving the objectives of the strategy, whilst being able to communicate and provide the right assurances and evidence around performance improvement at a Corporate level.

Accountability includes being accountable, taking account of and giving an account, and means being accountable for:

- Effectiveness; Performance including quality
- Efficiency; value for money

To hold to account effectively, Executive Directors will have clear data, insights, and management information to be able to judge performance, taking into account of:

- Performance data
- Feedback from stakeholders, members, complaints
- Benchmarking against peers
- Policies, plans and improvement strategies

Accountability here does not mean to take responsibility for Operational detail behind the Performance; it is about individually and collectively driving the performance improvement agenda to the forefront of everything we do.

Performance Management Culture:

Performance needs to be set within a culture of improvement, where everyone is determined to improve services and outcomes. Openness and accountability matter at every level of the organisation. The quality of our intentions should be evident in everything we do.

Ownership of performance will be stronger if a collaborative approach is taken both from a leadership and workforce perspective, and as such we expect our Managers to be reinforcing this approach and our values through their own behaviours and decision making around performance. In relation to our performance values, we strive to adopt:

- Honesty
- Openness
- Respect
- Reliability
- Recognition
- Acceptance of challenge
- Accountability
- A sense of shared purpose and common goals

We shall be:

- Well led
- Well organised
- Empowered
- Responsive to necessary change
- Aspirational and innovative in our approach

For our Members this means:

- Making sure the needs of residents are considered
- Helping to identify priority areas for measurement and monitoring
- Monitoring progress on priorities and plans
- Regularly reviewing performance, equipping themselves with the right knowledge and understanding of our data to ask the 'difficult' questions of us and being prepared to challenge constructively, where appropriate, on areas of poor performance

For our Senior Leaders this means:

- Constructive challenge to your direct reports on performance against our Corporately Significant Vital Signs
- Using evidence and data to secure understanding of performance within Portfolio areas
- Ensuring that appropriate Performance Management structures exist within the Portfolio area to support effective Performance Management and Business Planning

For our Managers this means:

- Ensuring that all direct reports have a relevant, timely and stretching Performance Development Plan, Career Progression conversations and appropriate Learning and Development to support them in their everyday role
- Ensuring that staff act and behave with integrity in their day-to-day work and that our decisions are made with defensibility and the end user in mind
- Constructive challenge to your direct reports on performance against our Corporately Significant Vital Signs and Quality Assurance Frameworks as relevant
- Using evidence and data to secure understanding of performance within their Department
- Ensuring that appropriate Performance Management structures exist within their Department to support effective Performance Management and Business Planning
- That we invite open discussion on Performance as part of our Team meetings, 1-2-1s and other forums, where staff can share concerns and good practice, challenge assumptions, contribute to problem solving and root cause analysis

For our staff this means:

- Working to the relevant Plans on a Page
- Adhering to service-related timescales and targets for delivery
- Ensuring that data/information is of good quality, and inputted into the relevant information systems in a timely way, adhering to the relevant internal standards set
- Engagement in regular supervision, performance and practice development conversations and completion of the Performance Development Framework, which can be found on MyNet [here](#).

Making Data Matter: *Place holder for Data Strategy, to be agreed following completion of the Data Maturity Assessment and subsequent action planning

- Definition
- Architecture
- Governance

Vital Signs:

Our Vital Signs are made up of indicators, which are arranged via Portfolios into broad outcomes, relating to our Better Together, For Norfolk Strategy. The Council's corporate delivery planning process sets out a direction for the Council, devises objectives and identifies a range of strategies to help us achieve our objectives, within the resources available. Integral to the successful delivery of all plans, is a robust performance management system, managed at three distinct levels: strategic, service, and operational.

At a strategic level, the Council has a dashboard of the corporately significant vital signs- those appropriate and meaningful measures which underpin the Council's vision, strategic objectives, and corporate priorities, so that they can be assured that appropriate progress is being made. These are aligned to the Council's portfolio areas and reported to Cabinet on a quarterly basis and allow us to communicate progress towards the goals of our strategy in a way that single measures can't alone.

At a departmental level, Executive Directors report performance against those indicators which underpin their service plan, the department's vital signs. These include all tasks, projects, measures, and risks relating to their own service objectives and from any other source, e.g., Transformation Programme, external inspectorate recommendations, internal audit recommendations etc. Departmental vital signs are reported monthly at departmental meetings and quarterly to the relevant Portfolio Holder.

At an operational level, Heads of Service and managers will monitor their own work plans, which are in place to review and report on team and individual performance, feeding up into the department management team, service plans and beyond.

The full list of outcomes and indicators is provided in Appendix Item A ****to be included once reviewed and agreed. Placeholder included with existing Vitals for 2021/22.***

The Vital Signs are made up of indicators that measure processes, inputs, outputs, and outcomes. By this we mean:

- Processes: The approach taken to deliver a service (i.e., "6 or more scrutiny meetings held per year")
- Inputs: Resources used to deliver (i.e., "Voluntary turnover rate")
- Outputs: Services that are delivered as a result of the inputs and processes (i.e., % of high-risk home fire safety visits carried out)
- Outcomes: The improvements made in the quality of life experienced by those in the community (i.e., "A greener, more resilient future").

The Vital Signs have been identified (****once agreed***) through cross cutting development by Teams, with views sought from a range of stakeholders, including:

- Engagement with Cabinet members on their priority outcomes
- Engagement with Executive Directors on the strategic performance indicators for their respective department
- Validation with key service leads

By working through this process, we are ensuring that we continue to challenge ourselves in ensuring we are providing the right sources of information, measuring the right things and able to answer the questions asked of us. In short, the Vital Signs should enable us to answer the questions "what has been achieved", "have our interventions worked well", "are we achieving value for money" and "why does this matter".

Our Vital Signs have been chosen as they relate to key aspects of our work which is focused on in our policies and statutory interventions and commitments. They should have a direct corresponding link to our Corporate Strategy, with a clear follow through on how our Corporate Objectives drill down to Departmental Vitals and Service Level.

An example of this:

Strategic Objective	Growing the economy
Corporately Significant Outcomes	Strategic infrastructure for growth
Departmental Vital Signs	Speed of planning application determination

Performance Triangle:



The Framework will allow an assessment of success to be made; it will also allow us to communicate key aspects of these successes and identify failures, where these occur. The indicators will present trend information based on a range of quantitative and qualitative information. Alongside this we intend to use statistical analysis and insights, to analyse trends, and to detect changes in patterns and our forecasts.

In some Departments we may have some indicators which have been included where we do not have high levels of control over outcomes. These measures are referenced in the dashboard as mandatory reports/context indicators, to help build a bigger picture around the success of our interventions, and Departments will be asked to identify these measures separately using a template (included as Appendix Item B), (***to be agreed, dependent on dashboard development***).

Executive Directors are accountable for the vital signs that are agreed. Whilst Heads of Service, Team Managers, Directors and Assistant Directors are responsible for the review process including the changing, removing and amending of the vital signs.

As strategic, policy or operational challenges and priorities change and arise the vital signs may need to change in-year to continually reflect accurate performance reporting. Where a vital sign needs adding, removing or changing in-year this should be formally agreed according to the level of the vital sign before the changes are adopted. For example, changes to Corporately Significant Vital Signs will need to be agreed at both Corporate Board and Cabinet. Whilst changes made to departmental vital signs will need to be agreed through departmental meetings.

A vital signs template has been included as Appendix Item C, with the intention of providing a quick and easy, but consistent approach to the annual review and agreement process of the vital signs.

Performance Review & Target Setting:

Targets are time bound statements which allow us to indicate a desired level of service delivery against our performance indicators. They enable us to distinguish between good and poor performance and, when realistically set they allow for continuous improvement.

Targets can exist at all three distinct performance reporting levels:

- Strategic – in the Council’s Strategic Plan; Better Together, For Norfolk
- Departmental – in Departmental and Service Plans
- Operational – in plans that align to an individual’s performance.

Targets are set annually in line with the business planning process timeline as follows:

***To be agreed**

Figure 1

As part of the annual target setting process Executive Directors are accountable for the targets that are agreed, whilst Heads of Service, Team Managers, Directors and Assistant Directors are responsible for the review process including the changing and amending of the targets.

A target setting template and target setting checklist has been developed to assist departments in the target setting and review process, and it is intended that the Organisational Performance Lead will work with Directorates, via workshops, to review this collaboratively, along with the Vital Signs, each year - included in Appendix Item D & E.

Annual Review Process:

All proposed targets and Corporately Significant Vital Signs will be formally presented to Cabinet Members and the Corporate Leadership Team for consideration within the context of priorities and resources set out in the Corporate Delivery Plan and Plans on a Page.

The annual review process of both the vital signs and targets is as follows:

Target setting shall take place on an annual cycle, via consultation and workshops, in line with the business planning timeline for Department Plans and Plans on a page as outlined above in figure 1.

Departments shall be required to complete a template, showing clear lines of thought around rationale for measurement, how it will be measured and the relevant data source, proposed target and tolerances and any links to risk/budget, (template included as Appendix Item D). Where possible targets shall be stretched against a baselined trend over the previous 5-year period (****to be agreed***).

For each measure, where possible, we anticipate being able to show what our forecasted position would be with and without action to clearly articulate the progress we expect to see in managing each measure.

In setting our targets we should consider:

- Drivers and/or pressures to delivery
- What we want to achieve? - What change are we expecting to see?
- Why do we want to achieve it?
- What legal commitments do we have to achieve/report on?
- How can we monitor and evaluate the performance?
- Do we have the data source to allow us to monitor and evaluate performance?
- How will we know what success/failure looks like?
- Can we benchmark internally and/or externally?

A checklist is included in Appendix Item E

Performance Monitoring:

Performance monitoring forms an integral part of the daily management practice of service delivery and management of our staff. It is embedded within each Department in a way that invites open discussion, challenge, peer review and is evidence led.

Monitoring our performance allows us to identify failures, recognise and reward success and learn from others. It also focuses us on key priorities and ensures that areas of poor performance are questioned and that corrective actions have taken place.

Performance Monitoring is about capturing and identifying statistically significant changes to the performance of our organisation across key deliverables and should alert us to growing problems, trend changes and to afford us the opportunity to explore why these exist. We should be regularly asking ourselves and our Teams:

- Why is Performance at the current level?
- What difference does underperformance make?
- What are the implications?
- Do we need to consider resources differently?
- How does this affect risk, budget, and our ability to meet our Corporate Objectives?

- Is there an impact on equalities, sustainability, the environment, efficiency, quality of life?
- How do we get things back on track?
- How long will it take us to get back on track?
- What are the barriers to getting back on track?
- What have we learnt?
- What can be identified as good performance and why is it good?

For poor performance that stems for two Quarters or more, Root Cause Analysis (RCA) will form part of our investigative approach for understanding the underlying causes of poor performance and forms part of the process we adopt in taking action and drawing together corrective plans (template included as Appendix Item F). These will be submitted to Executive Directors as part of their Monthly Performance Conversation and shared for consideration around risk, budget, and organisational performance view to the Organisational Performance Lead upon sign off from Executive Directors as part of the Collaborative Performance Risk Review Meeting (discussed later in the document).

Effective Performance monitoring conversations should take place regularly, and at least monthly via Team/Departmental Meetings, Performance clinics, SLTs and across our Executive Leadership Team. 1-2-1 Performance Management conversations with staff should be occurring in line with our Performance Development Framework Guidelines, which can be found on MyNet here.

Meeting regularly to discuss performance is essential in ensuring we are discharging our responsibilities effectively and to allow adequate time to consider any barriers to performance improvement. Performance Monitoring should be looked at holistically, taking consideration of our Vital Signs, Departmental and Corporate Risk Registers and budgetary controls; we should continue to ensure and be assured that necessary resources are in place for the Council to meet its objectives and measure the performance against them.

Department Performance and Risk Management Leads shall form a new group and meet collaboratively Quarterly with the Organisational Performance Lead and Risk Management Officer to have active discussions on emerging risks, root cause analysis for areas by exception of poor performance, identifying good practice and peer challenge.

Executive Directors shall also dedicate a monthly slot in their Agenda to Performance to pick up on emerging risks, peer challenge, review Root Cause Analysis and corrective action plans.

Performance Reporting:

Reporting on our Organisation Performance shall take place across various points in the year and will form an integral part of our monitoring and accountability processes.

Reporting shall be supported via a technological solution (****yet to be defined***) and shall look to be more dynamic in its approach to providing the right insights as to performance variation and changes in trends. The Organisational Performance Lead shall work collaboratively to assess and agree the right methodology to report on our performance, which could be a continuation of our current RAG rated system, along with other forms of measurement, such as Statistical Process Control (SPC), as an example. SPC is an analytical technique that is underpinned by science and statistics and plots data over time. It helps us to understand variation and what is statistically significant in terms of trend changes, and in doing so, guides us to take the most appropriate action. This level of reporting will support users to view and drill down into performance interrogation that

matters and support them to identify corrective actions that will make positive and sustainable changes to our trajectory.

Levels of access to the Performance Dashboard shall be role based and aligned to need within the Organisation (***need level yet to be determined and will be based on the type of technological solution that is approved moving forward**).

Reporting Cycle:

Annual Report- The overall annual report meets a commitment to produce a high-level annual assessment of the progress being made in meeting the objectives set out within our strategy and informs us of the interventions we have delivered and whether we have made the expected level of change against those targets set.

Quarterly Report- The quarterly Organisational Performance Report includes a holistic overview of the progress made against our Corporate Delivery Plan, including cross cutting projects and Transformation programmes, alongside reporting of our Corporately Significant Vital Signs by exception, where there are statistically significant changes to performance that sits outside of the Council's norm/trend, alongside reporting on national trends (where available and appropriate) to support discussions on the significance on the current picture. This dialogue will also include an assessment of risk in terms of budget, corporate risk register and workforce strategy.

Monthly Report- This will include a monthly review of performance to EDs for Months 1&2 of each Quarter, followed by the full Organisational Performance Report for end of Quarter, in line with the current timetable. This will be based on the Assurance Report Template (included as Appendix Item G), which will be used by Departments to clearly articulate areas of good progress/practice, statistically significant changes in performance and potential risks Organisationally to service delivery and budget. Departments will be expected to discuss results of root cause analysis (see Performance Monitoring section for further detail on this) and suggest corrective action plans for consideration by Executive Directors, which include expected timescales for return to stable performance.

Exception Reporting:

Too often performance reporting can become onerous and lack meaning, leading to risk identification becoming laborious and harder to detect. To ensure actionable insights are gained in the way we report on our performance, NCC will adopt a more rigorous exception reporting platform, that is based around the use of statistical analysis to assess deviations in performance and in highlighting risks more effectively, so that efforts to provide corrective actions are driven in a more targeted and evidenced based directive. This approach will support Managers in ensuring that efforts and resource is being used to target critical areas at the earliest opportunity in the most effective way.

****Exception Reporting guide to be added following agreement of direction of travel in terms of move away from sole RAG status and use of statistically significant trend analysis.***

Performance management across Norfolk County Council (NCC) is varied in nature. Some departments follow a consistent regular structure of review, whilst other departments follow a less structured approach. The aim of this proposal is to ensure performance follows a consistent approach across all departments and allows for corporate oversight of performance management.

Reporting cycle diagram:



Performance Framework Review Cycle:

We will continue to review and update the framework to ensure relevance and to provide the best and most effective ways of assessing progress, reflecting the development of new indicators (annually) and where strategy and business planning activities dictate.

The Framework will be reviewed every 5 years as a minimum (**** to be agreed***) and we would expect a continual assessment to be made on the relevance of all indicators through annual business planning process.

Appendix Item A

Outcomes and Supporting Measures: (Placeholder with existing measures as at 2021/21)

Departmental Plan	Portfolios	Portfolio holders	Suggested Top 3 Outcomes
Adult Social Care	Adult Social Care, Public Health and Prevention	Cllr Bill Borrett	Independence choice for people using Adult Social Services (other portfolio priorities covered within CES below)
Children's Services	Children's Services	Cllr John Fisher	<ul style="list-style-type: none"> • Signs of Success • Signs of Wellbeing • Signs of Safety
Community & Environmental Services	1. Growing the economy 2. Highways, infrastructure, and transport 3. Environment & Waste 4. Communities & Partnerships 5. Adult Social Care, Public Health and Prevention	1. Cllr Graham Plant 2. Cllr Martin Wilby 3. Cllr Eric Vardy 4. Cllr Margaret Dewsbury 5. Cllr Bill Borrett	Growing the economy
			<ul style="list-style-type: none"> • Strategic infrastructure for growth • Support key sector developments • Workforce growth and skills
			Highways, infrastructure, and transport
			<ul style="list-style-type: none"> • Delivering world class infrastructure • Maintaining investment in high quality transport • Customer focus
			Environment & Waste
			<ul style="list-style-type: none"> • Addressing key environmental concerns • Caring for Norfolk's distinctive environment • Sustainable waste and use of natural resources
			Communities & Partnerships
			<ul style="list-style-type: none"> • Keeping people of Norfolk safe • Improving people's health and wellbeing • Improving education and employment opportunities
			Adult Social Care, Public Health and Prevention
			<ul style="list-style-type: none"> • Improve our commissioned specialist services • Prioritise prevention • Use data and intelligence to target our work
Finance and Commercial Services	1. Finance 2. Commercial Services & Asset Management 3. Innovation, Transformation & Performance	1. Cllr Andrew Jamieson 2. Cllr Greg Peck 3. Cllr Tom Fitzpatrick	Finance <ul style="list-style-type: none"> • Current year spends within budget • Setting a balanced budget / sustainable MTFS • Capital and Treasury activities support long term aims and objectives of authority

Departmental Plan	Portfolios	Portfolio holders	Suggested Top 3 Outcomes
			Commercial Services & Asset Management <ul style="list-style-type: none"> Efficient management and rationalisation of the NCC estate and driving forward One Public Estate initiative Effective leadership and governance off NCC wholly owned companies and affiliates, to maximise return to shareholder through increased dividends or clear social returns Delivery of property savings and capital receipts targets, including reviewing commercialisation opportunities to generate income stream
			Innovation, Transformation & Performance <ul style="list-style-type: none"> Transformation programmes are delivering the change we need for the Council and people of Norfolk Performance of the Council is well managed We are driving innovation to benefit the County
Strategy & Governance	1. Governance & Strategy 2. Innovation, Transformation & Performance	1. Cllr Andrew Proctor 2. Cllr Tom Fitzpatrick	Governance & Strategy <ul style="list-style-type: none"> Good governance Strong reputation for the Council Delivering Together, for Norfolk
			As above (shared)

Adult Social Services Performance Indicators – Cllr Borrett Portfolio Lead
Outcome: Improving our commissioned specialist services
(other portfolio priorities covered within CES below)

Regular Cabinet Reporting

% Reablement cases where the outcome is recorded as not requiring any further social care support (Current vital sign)

% of providers judged good or outstanding by CQC

% of service users with LD who are in employment

% of people with mental health who are in employment

Number of permanent admissions to residential and nursing care for people aged 18-64 per 100k population (Current vital sign)

Number of permanent admissions to residential and nursing care for people aged 65+ per 100k population (Current vital sign)

Delayed discharges of care attributable to Adult Social Services (Current vital sign)

Total revenue expenditure on Adults' services per head of population (aged 18+) (raw values)

Social care-related quality of life (raw values) (LGA 44)

Carer related quality of life

Overall satisfaction of people who use services with their care and support

Reported Annually

Total revenue expenditure on Adults' services per head of population (aged 18+) (raw values) (LGA 44)

Social care-related quality of life (raw values) (LGA 44)

Carer related quality of life

Overall satisfaction of people who use services with their care and support

Children's Services - Outcomes and Key Performance Indicators - Cllr Fisher Portfolio Lead			
Outcomes	Signs of Success	Signs of Wellbeing	Signs of Safety
Proposed Performance Indicators	% settings judged good or outstanding	% of children achieving early years development goals	Rate of children in care per 10k
	KS2 Outcomes	Mental health and emotional wellbeing of children	Average caseloads in teams
	KS4 Outcomes	Instance of self-harm by CYP	Workforce stability - Proportion of agency workers of SW teams
	Free School Meals attainment Gap	Rate of entrants to the youth justice system	Re-referral rates social care
	Attainment at KS4 for Children in Care	Rates of Drug and Alcohol misuse by children and young people	Number of children subject to a child protection plan for a 2nd time
	Rate of permanent exclusions	Teenage pregnancy rate	Proportion of SW cases closed as needs met
	Proportion of learners in mainstream settings	Indices of deprivation scores	Feedback from children and families receiving support
	Number of children missing education	Proportion of family focus cases stepped down as needs met	Number of children going missing from care or home
	Rate of breakdowns of education or care for children looked after	Re-referral rate for family focus teams	TBC – measure of vulnerable adolescent's service impact on YP at risk of exploitation/harm
	% young people who are NEET		
	% Care Leavers who are NEET		
	All underpinned by Financial Principles		
	Overall CS budget outturn HNB recovery plan position SCARF transformation programme savings delivery Split of spend between care and protection		

Community and Environmental Services - Outcomes and Key Performance Indicators															
Outcomes		Alignment to Cabinet Member priorities													
		Cllr Borrett			Cllr Dewsbury			Cllr Grant			Cllr Plant			Cllr Wilby	
		Improving our commissioned spend on specialist services	Prioritising prevention	Use data and intelligence to target our work	Keeping people of Norfolk safe	Improving people' s health and wellbeing	Improving education and employment opportunities	Addressing key environmental concerns	Caring for Norfolk' s distinctive environment	Sustainable waste and use of natural resources	Strategic infrastructure for growth	Support key sector developments	Workforce growth and skills	Delivering world class infrastructure	Customer focus
Proposed Performance Indicators	% settings judged good or outstanding				X										
	CIL - participation of EYFS activity in libraries						X								
	CIL - % of learning delivered to the most deprived wards in Norfolk						X								
	NFRS - % of high-risk fire safety audits completed				X										
	NFRS - % of high-risk home safety visits carried out					X									
	NFRS - % of emergency response within 10 minutes to incidents where life is at risk				X										
	G&D - Sq. m of commercial and sector space supported										X				
	G&D - number of enterprises supported (Invest East)											X			
	G&D - Value of developer contributions secured												X		
	PH - Average ranking across PHE public health dashboard	X													
	PH - Healthy Life expectancy and component indicators		X												
	C&H - number of museum visits					X									
	C&H - speed of planning application determination									X					

	C&H - % of actions in Environmental Policy completed on time							X	X							
	H&W - Kg of residual waste per household									X						
	H&W - recycling rate at Recycling Centres									X						
	H&W - % of buses on time														X	
	H&W - % of defects dealt with within timescales															X
	H&W - % of highways capital programme funded by external sources												X			

Finance and Commercial Services - Outcomes and Key Performance Indicators -			
Finance - Cllr Jamieson Portfolio Lead			
Outcomes	Current year spend within budget	Setting a balanced budget / sustainable MTFS	Capital and Treasury activities support long term aims and objectives of authority
Proposed Performance Indicators	Revenue monitoring by Department	MTFS / level of forecast budget gap (Annual)	Capital monitoring – spend vs budget
	Savings delivery in year	Income forecasts including CT/NNDR (Annual)	Level of borrowing / debt
	Reserves use vs budget	Process for identification of pressures (Annual)	Cashflow / Treasury indicators
	FES – debt recovery	Input to Government policy decision making (consultations)	Monitoring of compliance with prudential indicators
	FES – Payment performance	Reserves forecasts (Annual)	Compliance with CIPFA Prudential Code
		Robustness of estimates judgement (Annual)	
		Compliance with CIPFA FM Code (Annual)	
		Audit VFM judgement	

Commercial Services & Asset Management - Cllr Peck Portfolio Lead			
Outcomes	Efficient management and rationalisation of the NCC estate and driving forward One Public Estate initiative	Effective leadership and governance off NCC wholly owned companies and affiliates, to maximise return to shareholder through increased dividends or clear social returns	Delivery of property savings and capital receipts targets, including reviewing commercialisation opportunities to generate income stream
Proposed Performance Indicators	Budget book – savings target	Capital receipt for land sold, that will be counted as part of overall capital receipts	Budget book – savings target:
	Total property cost/FTE	Annual income from interest charged for loans	Capital receipt target:
	floor area of property disposed of	Private sector units sold	
	Number of partnership projects, NCC is participating in.	Affordable units built in each of the tenures of: Shared equity Affordable rented Social rented	

Innovation, Transformation & Performance - Cllr FitzPatrick Portfolio Lead			
Outcomes	Transformation programmes are delivering the change we need for the Council and people of Norfolk	Performance of the Council is well managed	We are driving innovation to benefit the County
Proposed Performance Indicators	HR & Finance Replacement Project is delivering to defined and agreed milestones and costs	Performance Management System developed and on track	County Broadband Target
	Smarter Working – 10% improvement in measure “My manager encourages me and my colleagues to be flexible about when and where we work and to use space and technology creatively.”		
	Smarter Working programme targets being met		

Strategy & Governance - Proposed Outcomes and Key Performance Indicators - Cllr Proctor Portfolio Lead			
Outcomes	Good governance	Strong reputation for the Council	Delivering Together, for Norfolk
Proposed Performance Indicators	Decision making processes robust and timely	Customer satisfaction with council services	Composite measure of other portfolios key indicators to be defined in Quarter 1 2020/21.
	A positive Annual Governance Statement for NCC		
	Decisions challenged by threat of / actual judicial review		
	Full engagement with key stakeholders is carried out		
	New employee retention (24 months+) is at 70%		
	85% of employees have written goals		
	Absence levels at 3.5% (8.1 days) for NCC		
	Social Worker Vacancies - 90 % of workforce plan filled		
	Employee Engagement – annual measure – improvement of satisfaction and employer contribution score by 2%	-	-

Appendix Item B:

Mandatory Reporting Requirements Template:

Measure Title	Short Description	Linked to Strategic Objective?	Linked to Headline?	Linked to Departmental Vitals?	Target?	For those with targets what are the RAG tolerance and expected trajectory (is good up or down?)	Reporting Cycle (Monthly, Quarterly, Annual)	Data Source

Appendix Item C:

Vital Sign Template:

Vital Sign Number and Title	
Short Description (what's being measured)	
Relevant Outcome in the Strategy	
Rationale for Measurement	
Relevant Target in Corporate Delivery Plan (If applicable)	
Change Expected	
Budget/Finance implication	
Current on Corporate Risk Register?	
Data Source	
Target	
RAG Tolerances/ Expected trajectory (is good up or down)	
Method of Data Collection	
Reporting Cycle (Monthly, Quarterly, Annual)	
Additional comments	

Appendix Item D




Target Setting Template:

↑ - Target set to improve on the previous year's performance.

↔ - Target set to remain the same as the previous year's performance.

↓ - Target set at a reduced level compared to the previous year's performance.

As you begin to prepare for your target review workshops you may find this template helpful to clearly set out your new targets and analyse how they've changed from the previous year.

Code	Title of Vital	Actual 2022/23	Proposed 2023/24	Benchmark Internal	Benchmark National	DoT	Rationale for target	Exception Tolerances	Measure Owner
						  			

Each corporately significant vital sign will appear here. The vital signs will appear pre-populated.

Previous performance analysis and national comparison data to assist in setting challenging and realistic targets. There will be pre-populated.

Targets for the new financial year based on analysis and trends of previous performance and strategic changes.

Direction of Travel (DoT) this indicates if the performance is set to improve on the previous year's performance using the arrows in the key provided

This section explains the reasons for setting the target at its proposed level.

Where a target is set to improve on the previous year's performance (↑) reasons should be aligned to national benchmarking data, improving on current performance and any other considerations such as corporate priority targets (linked to the Corporate Plan, Improvement Objectives and Outcome Agreement).

Where a target is set to remain static (↔) or below (↓) the previous year's performance reasons will need to provide

Appendix Item E

Target Setting Checklist:

As you work through your targets, you may find the following five step checklist helpful.

Step 1	How are we doing now?
	Look at historic performance, finance, and risk
	Being clear about the context for those results
	How do we compare (national comparison, nearest neighbour, local comparison)? What are we benchmarking?
Step 2	What might affect performance this year?
	Changes in resources (Are we allocating more or less resources, and will this impact on performance?)
	Changes in working practice (How might changes in how we do things improve or hinder performance?)
	External and environmental factors (e.g., strikes, changes in law, adverse weather etc)
	Impact of use of technology/digital strategy
Step 3	What are the pressures on performance?
	Are there strategic, corporate targets set in the Council's plans or documents?
	Is it critical to national performance frameworks?
	Are we delivering or improving fast enough?
	If we performance well in this area will we reduce the likely performance in another?
	Will underperformance in this area have the potential to affect us reputationally?
Step 4	Outcomes
	What do we want to achieve? - What would success/failure look like?
	Why do we want to achieve that?
	What change are we expecting to see?
	Do we have any legal obligations to meet?
Step 5	Judgement: Given the factors in 1-4, how far are we trying to stretch?
	What are the most important influencing factors?

	What are the most important performance drivers?
	Where can we realistically 'stretch' to?
Step 6	Judgement: By when?
	How 'moveable' is the performance? (process measures fast, outcome measures slower etc.)
	How quickly will changes yield results?
	Will the speed of improvement change over time (fast starter, late improvement etc.)?

Appendix Item F:

Root Cause Analysis

ISSUE DETAILS			PERFORMANCE				ISSUE TO REPORT				POSSIBLE ROOT CAUSE				SUGGESTED SOLUTIONS							
DATE ISSUE REPORTED	VITAL SIGN NUMBER	VITAL SIGN DESCRIPTION	CURRENT PERFORMANCE	TARGET	TOLERANCES	LENGTH OF TIME (MONTHS) UNDER TARGET	DESCRIBE ISSUE	FACTORS OUTSIDE OUR CONTROL	RATE HOW CRITICAL		DESCRIBE CAUSE	PROBABILITY	AREA OF LIKELY IMPACT	DETAILS	DESCRIBE POTENTIAL SOLUTION	LIST ANY RISKS		DESCRIBE MEASUREMENT OF SUCCESS				
									Rate how critical: Low, Medium, or High	Justification						Rate likelihood of risks: Low, Medium, or High	Modification required	When is change expected ?	What will success look like?	Solution adopted?	Date of Adoption	

Appendix Item G:

Assurance Report

Department:

Date:

Written by:

Vital Signs Current Position Summary (Inclusive of volume of RAG and trajectories):

Performance Overview Summary (inclusive of areas of risk with regards to Finance, Performance, Reputational and Corporate Risk Register):

Examples of Good Practice:

Corrective Actions in place:

Root Cause Analysis Required- (for two or more periods of underperformance) yes/no?

Recommendations: